DOCUMENT RESUME

ED 465 365 HE 035 017

TITLE	Tools for Ensuring Program Integrity.
INSTITUTION	Office of Student Financial Assistance (ED), Washington, DC.
PUB DATE	2002-00-00
NOTE	286p.; "Common Origination & Disbursement" section is included.
PUB TYPE	Guides - Classroom - Learner (051)
EDRS PRICE	MF01/PC12 Plus Postage.
DESCRIPTORS	*Federal Aid; *Integrity; Program Effectiveness; *Student Financial Aid; Student Financial Aid Officers; Training
IDENTIFIERS	*Free Application for Federal Student Aid

ABSTRACT

This training document for financial assistance professionals discusses ensuring program integrity in student financial aid and describes some tools for ensuring internal and external program integrity. The training focuses on these tools and resources: (1) the Federal Student Aid (FSA) Schools Portal; (2) the Information for Financial Aid Professionals Web site; (3) SFA assessment documents; (4) various Web-based products and tools, including aid applications and access; (5) National Student Loan Data system transfer monitoring; (6) EDExpress Quality Analysis software tools; and (7) the Common Origin and Disbursement (COD) Web site. Sections discuss: (1) defining program integrity; (2) powering up integrity tools; (3) application integrity; (4) correction integrity; and (5) student award integrity. Appendixes contain a glossary, learning aids, answer keys for exercises, and a list of codes. (SLD)

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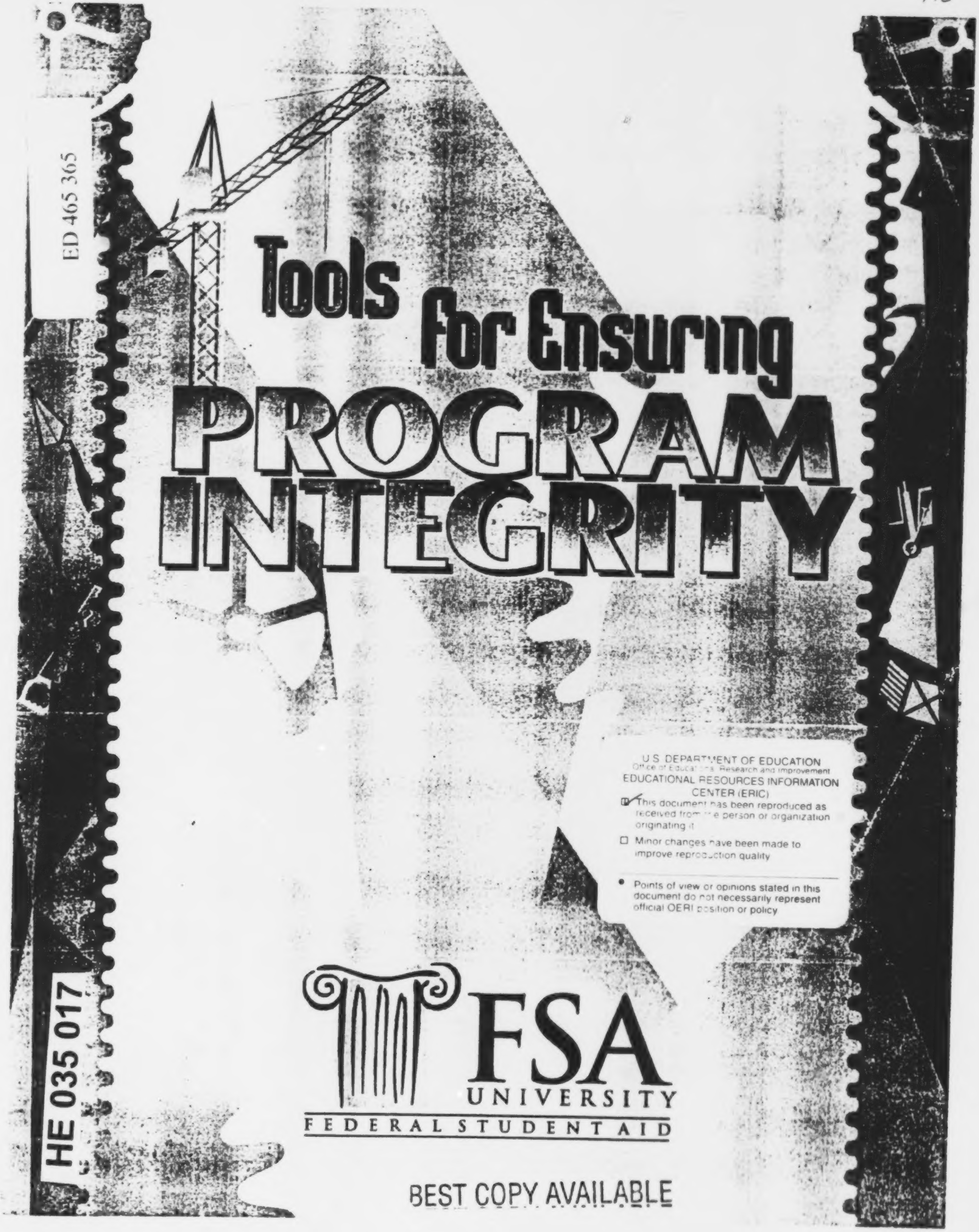

Tools for Ensuring PROGRAM INTEGRITY

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HE 035 017

FSA
UNIVERSITY
FEDERAL STUDENT AID

Form approved
OMB #1880-1529
Exp. date 11/30/2003

SFA
UNIVERSITY
STUDENT FINANCIAL ASSISTANCE

STUDENT FINANCIAL ASSISTANCE
Training Satisfaction Survey

DEPARTMENT OF EDUCATION
UNITED STATES OF AMERICA

Thank you for taking a moment to answer the following questions. We will use this to evaluate and improve our training and materials. Any information you provide is confidential.

Course ______________________________ Date __________

Location ______________________________

Trainer name(s) ______________________________

Your type of institution: ☐ Public ☐ Private ☐ Proprietary
☐ Undergraduate/Graduate ☐ Clock Hour/Credit Hour

Length of time in financial aid related responsibilities: (years/months) ________

Please complete the following statements using the scale below:

1	=	**Unacceptable**
2	=	**Poor/less than acceptable**
3	=	**Moderate/Acceptable**
4	=	**Good/More than acceptable**
5	=	**Outstanding/Much more than acceptable**
N/A	=	**Not applicable/Unknown/No Comment**

GENERAL

1. How well did this training meet your needs for improving your student aid operations?
☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ N/A

2. How well did this training meet the overall objectives stated at the beginning of the course?
☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ N/A

3. How well did the training announcement describe this training?
☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ N/A

TRAINING MATERIALS

4. How helpful were the case studies, charts and other graphic illustrations?
☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ N/A

5. Our goal is to provide accurate, clear and organized materials. How do you rate our materials?
☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ N/A

PRESENTATION

6. Please rate the presentation and/or slide show for clarity and accuracy.
☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ N/A

7. Was enough time devoted to trainee questions and exercises?
☐ Yes ☐ No

8. What suggestions do you have to improve the trainers' presentation?

TRAINING LOGISTICS AND MISCELLANEOUS

9. What additional training would you like us to provide?

10. What comments do you have about the workshop's location and training room?

ADDITIONAL COMMENTS AND SUGGESTIONS

You can now provide your comments on this or any other training session on our Training Information page at www.ed.gov/offices/OSFAP/sfau/ or by sending us an e-mail at SFA_Training@ed.gov

Tools for Ensuring PROGRAM INTEGRITY

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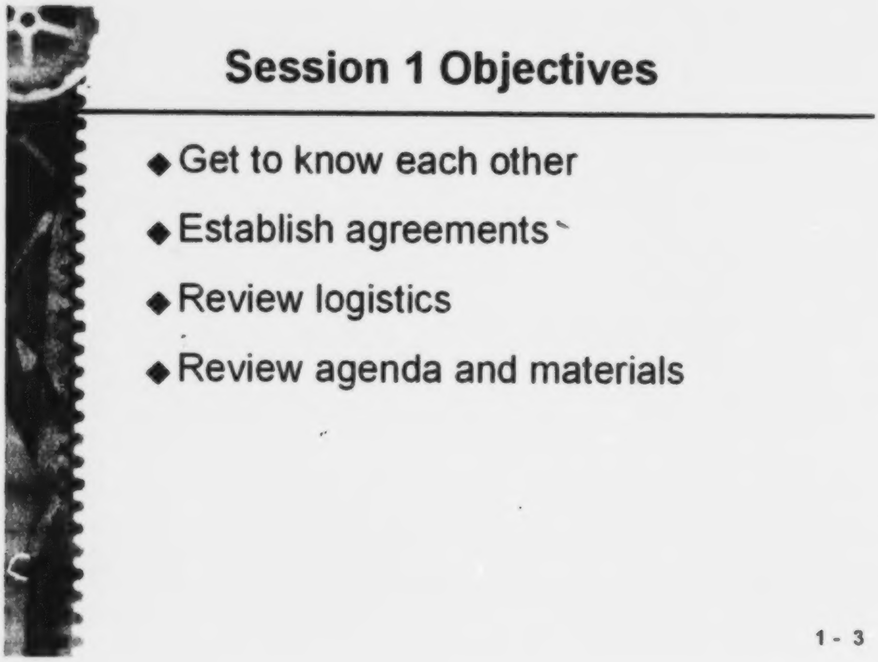


Session 1 Objectives

- ◆ Get to know each other
- ◆ Establish agreements
- ◆ Review logistics
- ◆ Review agenda and materials

Sharpen Your Networking Tools!

Add a New Tool to Your Toolbox

The focus of this workshop over the next two days is to help you identify the various tools available to help you do your job. At the moment, let's focus on one of the most powerful tools of all—the experience within the financial aid community. Your colleagues, like you, have lived through many different work experiences and have a wealth of stories and helpful hints to share. Ask them!

Learning Activity

Objective:

- Meet your colleagues and fill in the FAA (Federal Aid Administrator) Experiences Handout with as many different names as you can

Instructions:

1. Turn to the next page (page 1-3), and remove your FAA Experiences Handout.
2. With your list and a pen or pencil in hand, stand on the right side of the room (as you face the instructor) if you have less than 3 years of experience working in a financial aid-related capacity. Stand on the left side of the room if you have 3 or more years of experience.
3. When the instructor gives you the signal, move to the center of the room and begin introducing yourself to colleagues you don't know.
4. As you introduce yourself, find *at least* one person who has had an experience listed on the handout, and write that person's name down in the space provided.
5. Continue meeting new people and adding names to your list until either your list is complete or the instructor calls time. You may include each person's name on the list only one time.
6. The person with the most names on their list wins a prize! Good luck!

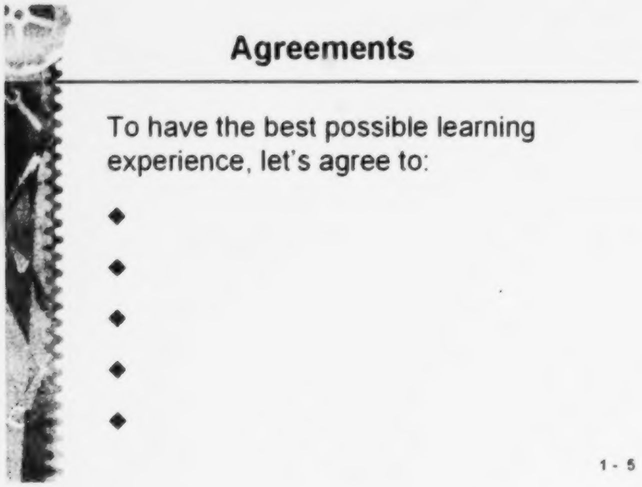
Challenge:

How can you stay connected to your colleagues on a daily basis?

Session 1: FAA Experiences Handout

Introduce yourself to your colleagues, and find out which of them have had the following experiences. Write their names in the column to the left.

	Name and School	FAA Experiences
1		A student or parent asked how much money he or she could earn so the student could receive a Pell Grant.
2		A student requested a student loan to buy a vehicle.
3		A disgruntled student or parent threatened to report you to the Department of Education.
4		A student completed the verification form and responded to household size with something like "3 bedrooms, 2 baths."
5		A student who received financial aid established a scholarship or grant after graduating in appreciation for the assistance he or she received.
6		You were working in financial aid when the Pell Grant was the BEOG.
7		You know what state Pell City is in.
8		You've had a student who is a U.S. citizen, but parents are not.
9		A student asked you about the "reward" letter.
10		A family sent you a check to satisfy its EFC.
11		A student asked where to get a copy of the 10-W-40 form.
12		You've personally completed at least a part of the FISAP.
13		You've used FSA Coach to train yourself or your staff.
14		You've been working in financial aid for less than a year.
15		Your school uses an imaging system to retain documentation.
16		You subscribe to IFAP electronic update messages.
17		You subscribe to the FSATECH listserv.
18		Your school verifies 100% of all of your federal student aid applicants.
19		You've attended a state or national financial aid conference and had to share a hotel room with ***only*** one other person.
20		A student who has graduated, and who was always the first to complain that his or her credit balance check wasn't ready, calls to ask, "What's this repayment stuff the bank keeps sending?"



Agreements

To have the best possible learning experience, let's agree to:

◆

◆

◆

◆

◆

1 - 5

Agreements

Let's come up with learning guidelines to make this the most successful learning experience possible! Write down a few suggestions that you think will be helpful, and be ready to share them.

1. ______

2. ______

3. ______

4. ______

5. ______

Where to Find Stuff

Where to Find Stuff

Use the space below to jot down notes about where to find the various facilities that you'll be using over the next two days.

Restrooms ______________________________

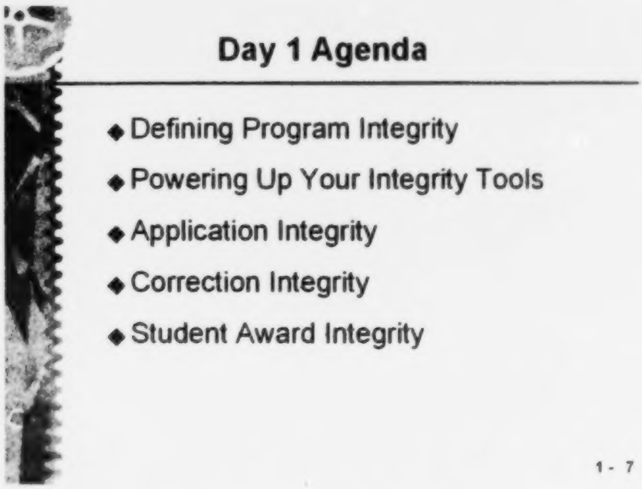
Vending machines ______________________________

Public telephones ______________________________

Places to eat lunch ______________________________

Area where smoking is allowed ______________________________

Other ______________________________



Day 1 Agenda

- ◆ Defining Program Integrity
- ◆ Powering Up Your Integrity Tools
- ◆ Application Integrity
- ◆ Correction Integrity
- ◆ Student Award Integrity

1 - 7

Welcome to "Tools for Ensuring Program Integrity"

Over the next two days you will be exposed to the resources and tools that the U.S. Department of Education (ED) provides so you can administer and manage your school's federal student financial aid programs.

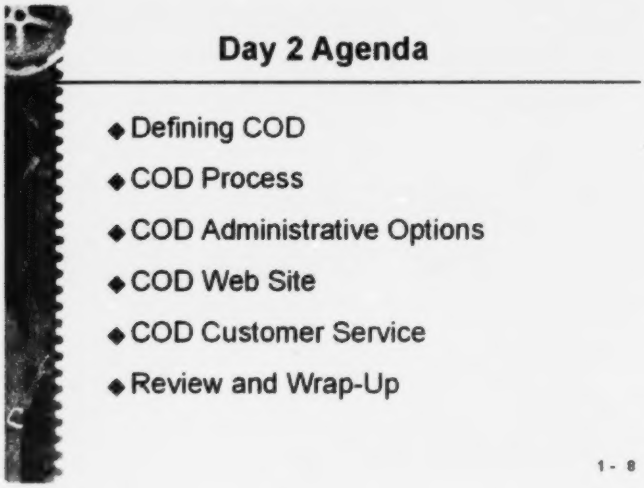
Day 1 Agenda

On Day 1 we will focus on tools that help to ensure program integrity. If you have questions about the agenda for Day 1, jot them down and bring them to the instructor's attention.

1. ______________________________

2. ______________________________

3. ______________________________



Day 2 Agenda

- Defining COD
- COD Process
- COD Administrative Options
- COD Web Site
- COD Customer Service
- Review and Wrap-Up

1 - 8

Welcome to COD

On Day 2 you will learn how valuable the new Common Origination and Disbursement (COD) Process will be in helping you maintain the integrity of the federal programs you administer.

Day 2 Agenda

Do you have any questions about the topics for Day 2? If so, jot them down below and bring them to instructor's attention.

1.

2.

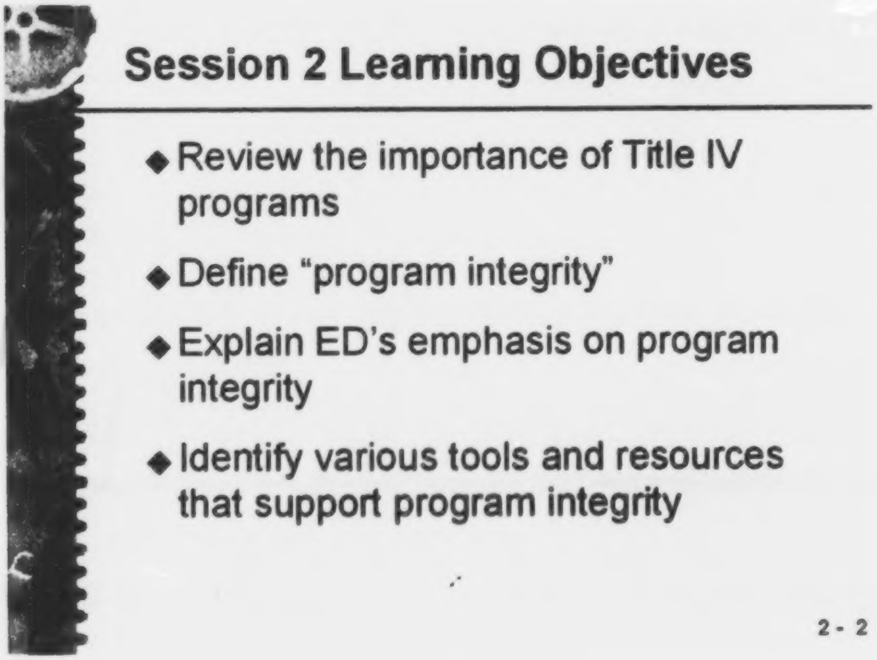
3.

Is It OK if the Inside of Your Circle Is Different?

Learning Activity

Follow the directions provided by the instructor.

Session 2— Defining Program Integrity



Session 2 Learning Objectives

- Review the importance of Title IV programs
- Define "program integrity"
- Explain ED's emphasis on program integrity
- Identify various tools and resources that support program integrity

Tools

President's Management Agenda

A document outlining the President's strategy for improving the management and performance of the federal government, including the U.S. Department of Education. The document emphasizes the need to reduce fraud, waste, and ineffectiveness by improving the way all federal student aid programs are administered and managed.

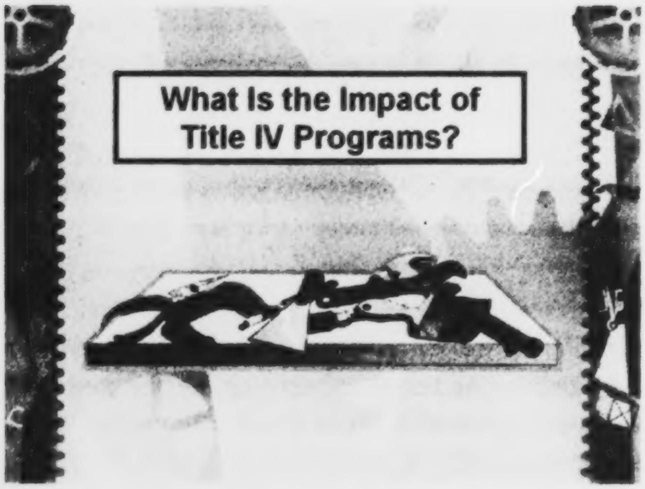
Key Terms

Federal Student Aid (FSA)

Office within the U.S. Department of Education responsible for the overall management and administration of the Title IV programs and the various operating systems.

Office of Postsecondary Education (OPE) ID

An eight digit identification number assigned by the Office of Postsecondary Education to an institution that has been approved to participate in federal student financial aid programs. Schools that don't administer Title IV funds but want their students to qualify for in-school deferments also are assigned an OPE ID number. Additional locations of a school are designated by the last two digits of the OPE ID (e.g., the OPE ID of a school's main campus would be 001639**00**, while the OPE ID of the school's additional location would be 001639**01**).



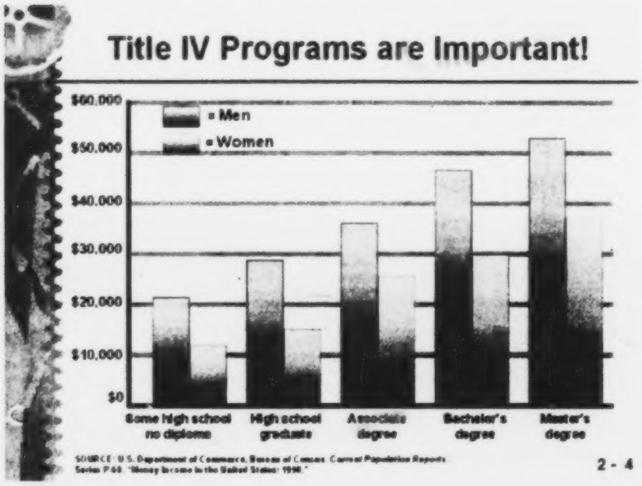
What Is the Impact of Title IV Programs?

The Impact of Title IV Programs

Title IV programs came about as a result of the Higher Education Act of 1965. Over the years, these programs, which are administered by the U.S. Department of Education (ED), have realized enormous growth. In addition, their reach to the American public has become vast.

Do you know:

- How many students apply for federal student financial aid each year?
- How many postsecondary schools participate in Title IV programs?
- How many lenders and guaranty agencies participate in the Federal Family Education Loan Program (FFELP)?
- What percentage of undergraduate student aid applicants receive some form of federal aid?
- How much federal student financial aid does the U.S. Department of Education provide each year?



Title IV Programs are Important!

SOURCE: U.S. Department of Commerce, Bureau of Census, Current Population Reports Series P-60, "Money Income in the United States: 1998."

2 - 4

Title IV Programs are Important!

As this graphic indicates, in this country a college education makes an enormous difference an individual's earning potential, which in turn impacts not only the individual's standard of living but also the U.S. economy. Without the financial assistance—grants, work study, and loans—provided by the Title IV programs, many would not have the resources to attend college and earn a degree.

Note:

We all have a stake in ensuring that these programs continue to enjoy the support of the tax-paying public and the U.S. Congress.

What Is Needed to Ensure the Viability of Title IV Programs?

Ensuring the Viability of Title IV Programs

To attract and maintain the support of the American people and of the members of Congress, the Title IV programs must be as secure and risk-free as possible.

The three primary areas of concern are:

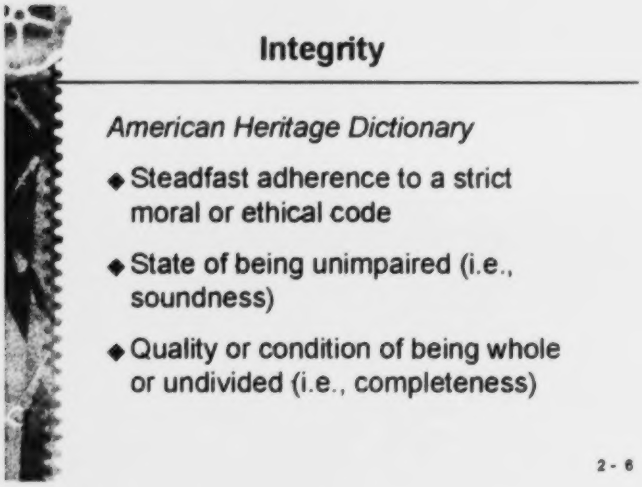
- Awards
- Cash management
- Academic programs

These areas present risks that involve issues such as eligibility, reconciliation and integrity of academic programs. Each area needs our full attention.

- Can you name a specific risk for each area of concern?

- Is one of these areas of particular concern at your school?

- How has your school assessed and addressed some of these risks?



Integrity

American Heritage Dictionary

- ◆ Steadfast adherence to a strict moral or ethical code
- ◆ State of being unimpaired (i.e., soundness)
- ◆ Quality or condition of being whole or undivided (i.e., completeness)

2-6

Defining Integrity

Dictionaries contain definitions that everyone can understand, but we need to work together to develop our own practical definition of integrity as it applies to our jobs in the financial aid community—a definition that we can use in working with each student, every day.

What Is Our Working Definition of Program Integrity?

Defining Program Integrity

Before we can focus on maintaining program integrity, we need to agree on what program integrity means. Together, we need to develop a common definition.

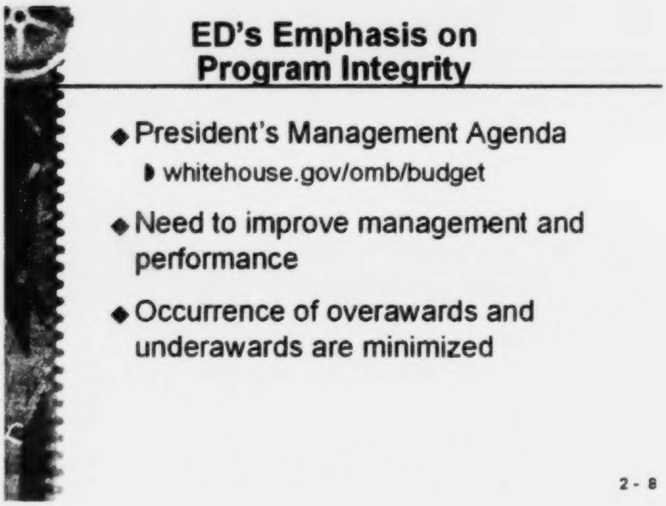
Learning Activity

Instructions:

1. Work on your own for 2 minutes and come up with your definition of "program integrity."
2. Be prepared to share your definition with the large group, then we'll work together as a large group to come up with a common working definition to guide our dialogue over the next two days.

My Definition of Program Integrity

Our Definition of Program Integrity



ED's Emphasis on Program Integrity

- President's Management Agenda
  - whitehouse.gov/omb/budget
- Need to improve management and performance
- Occurrence of overawards and underawards are minimized

ED's Emphasis on Program Integrity

In August 2001, President Bush released The President's Management Agenda. This document outlines the President's strategy for improving the management and performance of the federal government, including the U.S. Department of Education. It emphasizes the need to reduce fraud, waste and ineffectiveness.

Note:

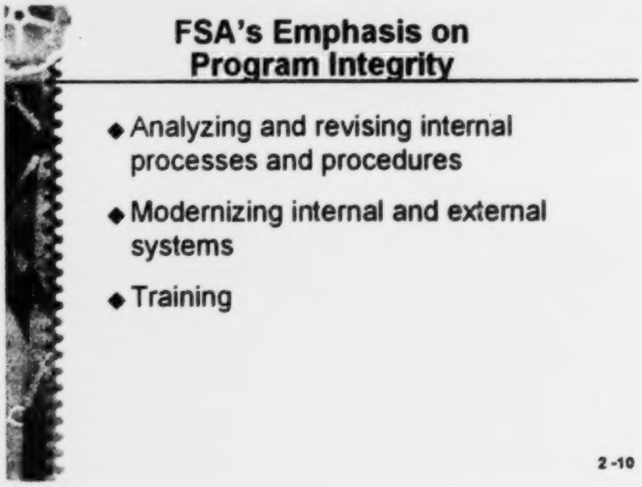
The President's Management Agenda can be accessed online at whitehouse.gov/omb/budget

Program Integrity Requires a Joint Effort

Program Integrity Requires a Joint Effort

The President's Management Agenda calls for improving the way all federal student aid programs are administered and managed. However, ensuring program integrity requires a coordinated effort between ED and all of its partners, including:

- Schools
- Servicers
- Lenders
- Guaranty agencies
- Contractors



FSA's Emphasis on Program Integrity

- Analyzing and revising internal processes and procedures
- Modernizing internal and external systems
- Training

2-10

FSA's Emphasis on Program Integrity

FSA's focus on program integrity is internal as well as external. Just as the external focus ensures that the financial aid community has the tools and resources it needs, FSA is working internally to:

- Analyze, revise and streamline its internal processes and procedures
- Modernize its internal and external operating systems
- Provide quality training to the staff that support and serve the needs of a dedicated financial aid community

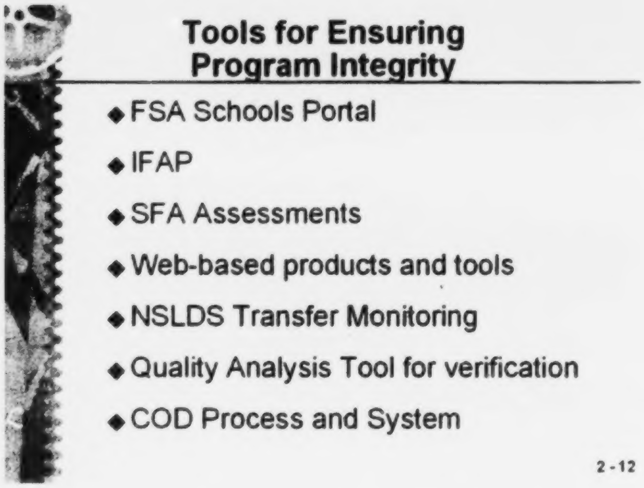
How Can the Financial Aid Community Help Ensure Program Integrity?

How the Financial Aid Community Can Help Ensure Program Integrity

Your hard work and dedication make it possible for the Title IV programs to benefit millions of students across all walks of life. Key to sustaining the viability of these enormously important programs is ensuring that they are maintained and administered with integrity. This is a responsibility that FSA and all of its partners share.

Ensuring the integrity and viability of Title IV programs means that FSA and all of its partners must work together.

- What control do you (and your school) have in ensuring the integrity and viability of Title IV programs?



Tools for Ensuring Program Integrity

- FSA Schools Portal
- IFAP
- SFA Assessments
- Web-based products and tools
- NSLDS Transfer Monitoring
- Quality Analysis Tool for verification
- COD Process and System

2-12

Tools for Ensuring Program Integrity

In support of program integrity, ED is committed to reviewing its own policies, systems and practices. ED is equally committed to providing its partners from the financial aid community with the tools and resources needed to ensure that their own programs are administered with integrity.

Some of these tools directly impact your financial aid policies and practices. Others have more of an indirect impact, in that they help federal student aid applicants provide the most accurate data possible. This training focuses specifically on the following tools and resources:

- FSA Schools Portal
- IFAP
- SFA Assessment documents
- Various web-based products and tools, including
  - FAFSA on the Web demo
  - FAA Access on the Web
- NSLDS Transfer Monitoring
- EDExpress Quality Analysis Tool (software) for verification
- Common Origination and Disbursement (COD) Web Site

Note:

Each of these tools is described in detail in the Glossary.

Key Learning Points

Complete the exercises below to check what you learned about the key points presented in this session.

True or False

_________1. The U.S. Department of Education is the only entity responsible for ensuring the integrity of the Title IV programs.

_________2. Having an educated population helps democracy continue to flourish the U.S., which is something we must never take for granted.

_________3. Because of the many important contributions the Title IV programs make to our country, we all have a stake in ensuring that they continue.

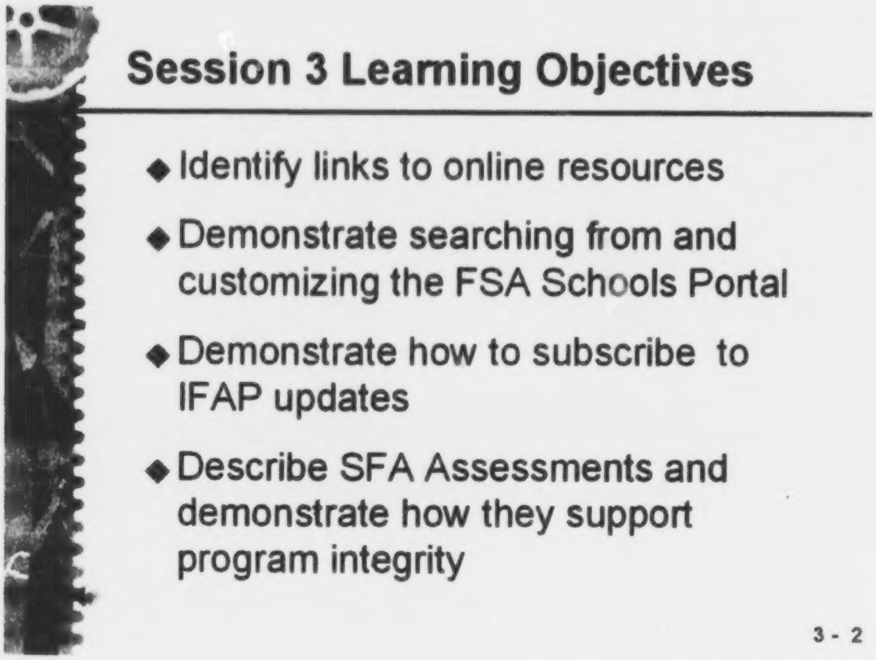
_________4. The President's Management Agenda emphasizes the need to improve the management and performance of the federal government.

_________5. The three areas of risk to Title IV Programs mentioned in this session include awards, staffing and cash management.

Circle All that Apply

6. The President's Management Agenda proposes to make improvements by:
   a. Encouraging high school graduates to join the military
   b. Focusing on results
   c. Reducing fraud, waste and ineffectiveness
   d. Placing "Just Say No" signs in middle schools and high schools
   e. Reducing the number of federal employees
   f. Ensuring program integrity
7. The dictionary definition of integrity includes:
   a. Steadfast adherence to a strict moral or ethical code
   b. Consideration for and deference to another's privileges or knowledge
   c. Being in a state of soundness
   d. Ethical, legal, or moral obligation
   e. Having the quality of completeness
8. Examples of FSA's recent efforts to enhance and support its internal emphasis on program integrity include:
   a. Training FSA staff
   b. Restricting public access to information about federal financial student aid programs
   c. Analyzing and revising internal processes and procedures
   d. Modernizing internal and external systems

Session 3— Powering Up Your Integrity Tools



Session 3 Learning Objectives

- ◆ Identify links to online resources
- ◆ Demonstrate searching from and customizing the FSA Schools Portal
- ◆ Demonstrate how to subscribe to IFAP updates
- ◆ Describe SFA Assessments and demonstrate how they support program integrity

Tools

FSA Schools Portal

Web site providing multiple links that improve the efficiency of managing the information provided by FSA.

Located at: **sfa4schools.sfa.ed.gov**

Password and ID required to customize the portal.

IFAP (Information for Financial Aid Professionals)

Web site to provide FSA information updates electronically; online database providing access to a collection of current and archived FSA information/materials (e.g., publications, reference manuals, regulatory and policy guidance, Dear Partner and Action Letters, etc.).

Located at: **ifap.ed.gov**

User ID and password required to enroll in electronic updates.

Management Enhancement Worksheet

Document designed to assist schools in clearly describing concerns and developing an action plan to make improvements to policy, procedures, or systems identified by using the SFA Assessment.

Located at: **qaprogram.air.org/AppendixE.html**

Postsecondary Education Participants System (PEPS)

The Financial Student Aid (FSA) management information system for all organizations that have a role in administering federal student financial aid and other Higher Education Act programs. Maintains eligibility, certification, demographic, financial, review, audit and default rate data about schools, lenders and guarantors participating in the Title IV programs.

SFA Assessment

Four categories of web-based management assessment modules to help schools assess compliance with Title IV requirements and enhance their services. Each self-guided assessment contains links to applicable laws and regulations. The four categories include: Students, Schools, Managing Funds and Campus Needs.

Located at: **qaprogram.air.org/SFAAssessment.asp**

OPE ID and password required for interactive modules. However, schools that choose not to create a password can access and download all interactive modules while in tour mode.

Key Terms

Boolean Search

A logical search method that uses keywords joined by the operators AND, OR and NOT to retrieve information. For example, a Boolean search string for "Ability to Benefit" could be "Ability AND Benefit." This search would return all documents containing both words.

Customize

To alter according to individual specifications; to filter the web site options so that your screen best fits your individual needs.

Natural Language Search

A database search conducted using human language as opposed to computer language.

PORTAL
POWER

Online Resources through the Schools Portal

The FSA Schools Portal is the Department of Education's gateway to other FSA sites. In addition to displaying FSA News headlines and a calendar of events, the FSA Schools Portal contains links to many valuable online resources. Let's check what you know about the available resources.

Learning Activity

Instructions:

1. Get together with your small group and work as a team.
2. The instructor will provide the supplies needed (a Schools Portal chart, an envelope containing 30 index cards and a transparency marker).
3. If not already done for you, hang the Schools Portal chart on the wall.
4. Divide the 30 index cards among your team. Each card is numbered and describes either a link found on the Schools Portal or a particular feature of the site.
5. Form a single-file line behind your team's starting line; wait for the instructor to give the start signal; then start the activity.
6. When it's your turn, take a card, read the description provided and note the number. Then mark the number where the information is found on the Schools Portal chart. The next person in line repeats the process.
7. Continue until either time is called or a team is the first to finish.

Team members may consult with one another, but only the first person in line is allowed to move beyond the starting line. Also, each link on your Schools Portal chart may be marked with only one number. The first team to correctly mark all of their resources on the Schools Portal wins! Good luck!

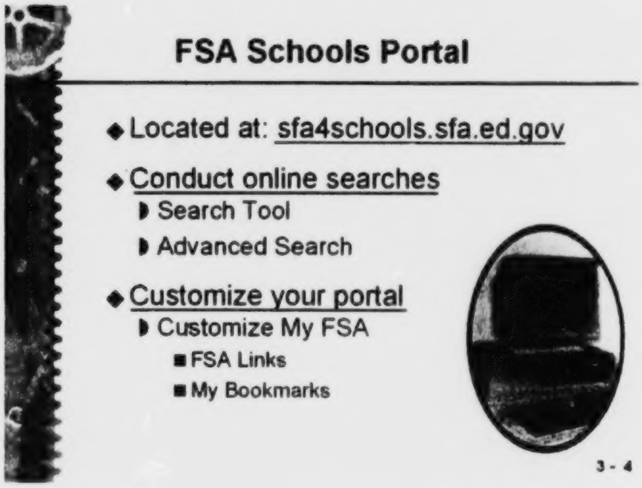
Challenge:

Did you discover any resources available from the Schools Portal that will help ensure or enhance the integrity of your school's federal student financial aid programs?

FSA Schools Portal Features

Feature	Description
Home button	From any page, click this link to return to the home page
Portal Help	Provides user with online help, as well as customer service email address and phone number
FAQs	Online listing of frequently asked questions and answers, which currently pertain only to the Schools Portal web site
Contacts	• Comprehensive listing of call and service centers supported by FSA • Click the link to get more detailed information, including phone number and available email addresses
Got a Question?	• Allows user to send questions and feedback by email directly to the FSA Customer Service Call Center • For better service, user should include name and phone number
Portal Feedback	• Users are encouraged to send feedback about the Schools Portal web site by email • All suggestions are considered for future enhancements and modifications to the site
Calendar Item	• Allows user to complete an online request to have an event publicized or posted to the calendar • Required fields, including URL for a web site providing details about the event, are marked with an asterisk
FSA Links	• Reference Library • FAA Access to Student Data • Book Store • Participation & Funding • Conferences & Training
FSA Headlines	Displays FSA News and links to other important news items
Search Area	Allows user to enter searches that target the FSA sites and the IFAP database
Calendar Area	• FSA is committed to ensuring that this feature is kept current and is useful to partners and customers • Hyperlinks display events, deadlines, training and NPRMs of interest to FSA Schools Portal users

Feature	Description
Calendar Area	• Calendar displays current date as a hyperlink; click on name of month to open calendar for full page view – Calendar displays dates corresponding to events, deadlines, training, etc. in bold ✦ Includes meetings and conferences of regional, state and national associations as well as other postsecondary education organizations – Hyperlinks ✦ Events link filters the calendar information to display only those items considered "events" ✦ Deadlines link displays upcoming deadlines ✦ Training link displays listing of training events and U.S. map to show where training will be held, i.e., "training at a glance" ✦ NPRMs link displays comment due date; provides a link to the current regulation(s) being proposed to be revised; includes a "send your comments" link that displays a pre-addressed email window
My FSA Area	Access to a version of the FSA Schools Portal that users can personalize



FSA Schools Portal

- Located at: sfa4schools.sfa.ed.gov
- Conduct online searches
  - Search Tool
  - Advanced Search
- Customize your portal
  - Customize My FSA
    - FSA Links
    - My Bookmarks

3 - 4

FSA Schools Portal

As we saw, the FSA Schools Portal page provides access to many online resources that are helpful in ensuring your school's program integrity. To get information easily and quickly via the Schools Portal, you should know how to conduct searches and how to customize the Portal. The Portal Help menu button provides assistance with both.

Conducting Online Searches

The FSA Search Tool allows you to enter searches that target FSA links and/or the IFAP database.

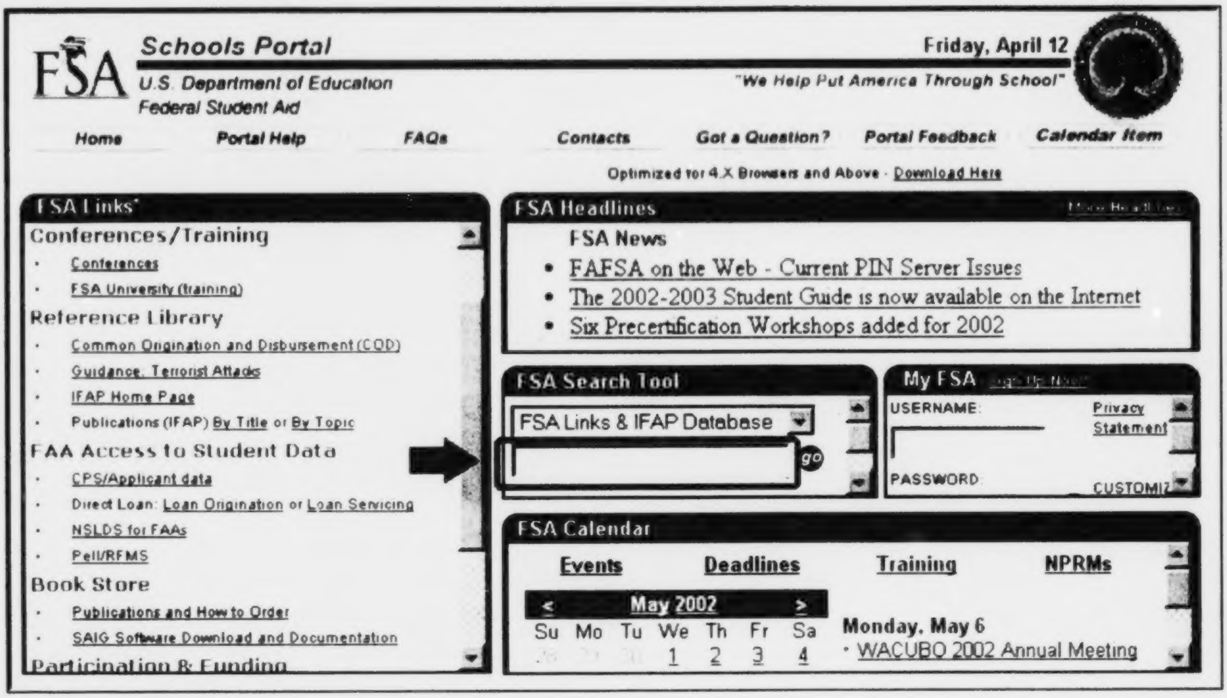
Customizing a Portal

One way to use the Schools Portal to your fullest advantage is to customize your own FSA Schools Portal page by selecting the Customize Your Links option. This option allows you to choose which FSA site links will display on the page, and it allows you to add your own bookmarks to the list of links. Just sign up for a "My FSA" account and obtain a user ID and password (both are case sensitive).

Notes:

1. *The FSA Schools Portal is located at sfa4schools.sfa.ed.gov*
2. *Page 1 of Appendix B contains instructions on how to conduct a search.*
3. *Page 2 of Appendix B contains instructions on how to customize a portal.*

FSA Schools Portal

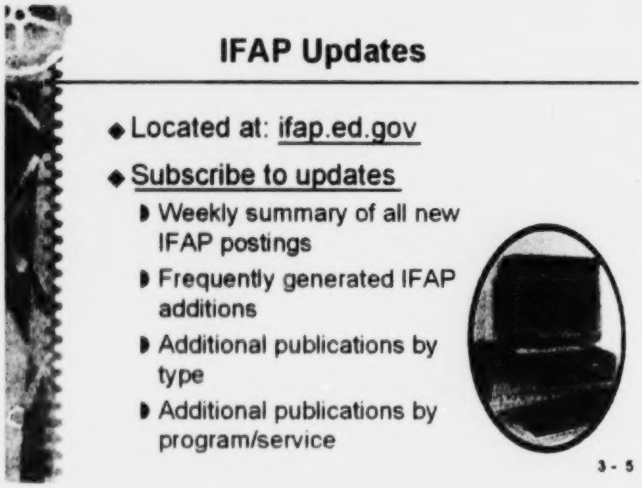

FSA
Schools Portal
Friday, April 12
U.S. Department of Education
Federal Student Aid
"We Help Put America Through School"
Home
Portal Help
FAQs
Contacts
Got a Question?
Portal Feedback
Calendar Item
Optimized for 4.X Browsers and Above · Download Here
FSA Links*
Conferences/Training
Conferences
FSA University (training)
Reference Library
Common Origination and Disbursement (COD)
Guidance, Terrorist Attacks
IFAP Home Page
Publications (IFAP) By Title or By Topic
FAA Access to Student Data
CPS/Applicant data
Direct Loan: Loan Origination or Loan Servicing
NSLDS for FAAs
Pell/RFMS
Book Store
Publications and How to Order
SAIG Software Download and Documentation
Participation & Funding
FSA Headlines
FSA News
FSA Search Tool
FSA Links & IFAP Database
go
My FSA
USERNAME:
PASSWORD:
Privacy Statement
CUSTOMIZ
FSA Calendar
Events
Deadlines
Training
NPRMs
< May 2002 >
Su Mo Tu We Th Fr Sa
1 2 3 4

- FAFSA on the Web - Current PIN Server Issues
- The 2002-2003 Student Guide is now available on the Internet
- Six Precertification Workshops added for 2002

Monday, May 6
- WACUBO 2002 Annual Meeting

URL: sfa4schools.sfa.ed.gov

User name and password are required to customize the portal.



IFAP Updates

- Located at: ifap.ed.gov
- Subscribe to updates
  - Weekly summary of all new IFAP postings
  - Frequently generated IFAP additions
  - Additional publications by type
  - Additional publications by program/service

3-5

Subscribing to IFAP Updates

Information for Financial Aid Professionals—IFAP—is an online database that provides access to an enormous collection of current and archived FSA information and materials, including publications, reference manuals, regulatory and policy guidance, Action and Dear Partner Letters, etc.

Similar to the FSA Schools Portal process, you can register to become an IFAP user. As an IFAP registered user, you can customize your IFAP searches. You can also subscribe to receive regular IFAP updates by email.

The IFAP subscription system notifies registered users by email when a new item has been added to the IFAP database. Users have options about what type of update they would like to receive:

- Weekly Summary of all IFAP Additions (default setting)
- Frequently Generated IFAP Additions (within 48 hours)
- Additional Publications by Publication Type (within 48 hours)
- Additional Publications by Program/Service

To become a registered user, access the IFAP home page and click on "Member Services". Then click on "Click Here to Register" and provide the required information. IFAP will email your user ID and password within 24 hours.

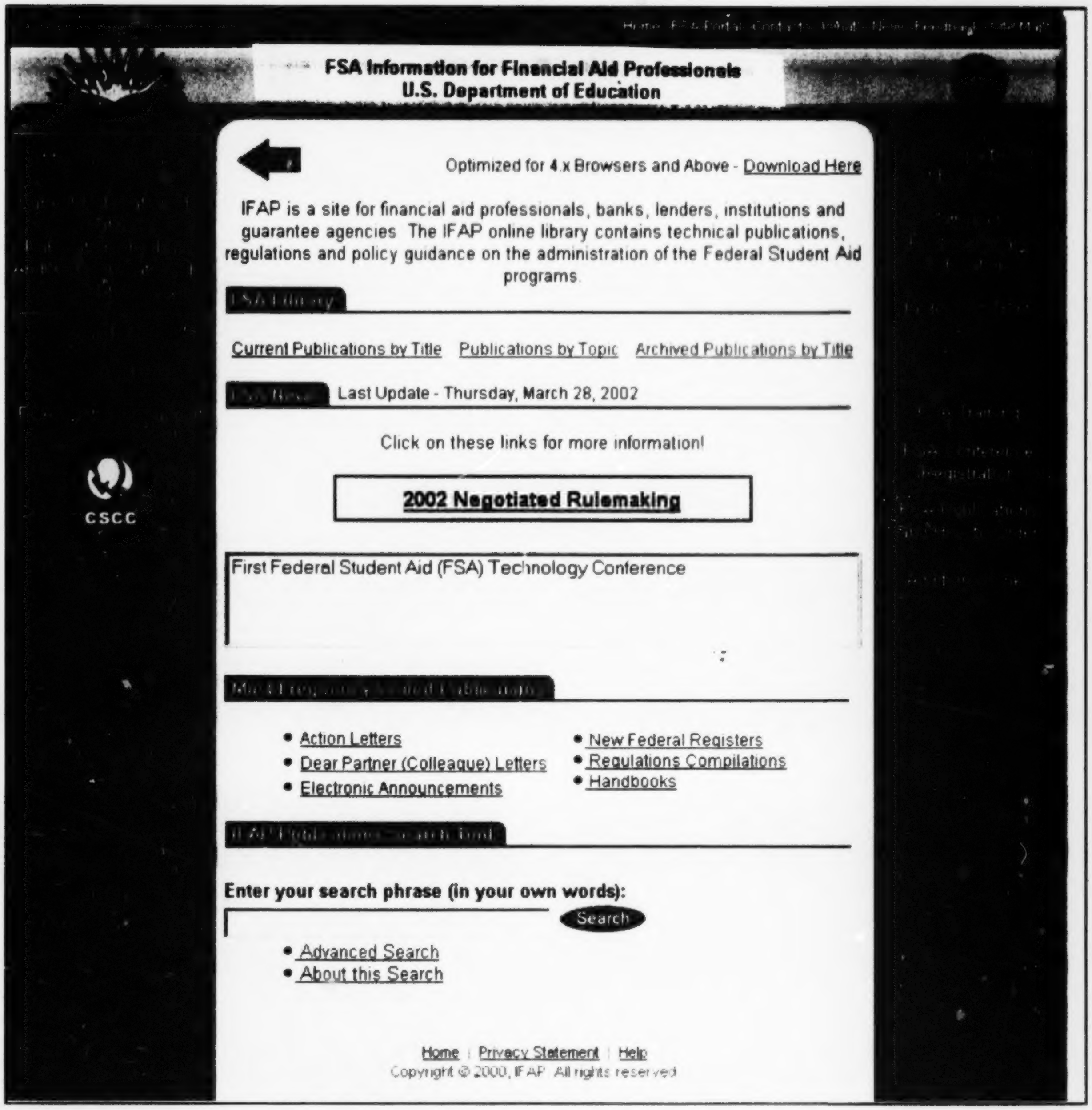
Notes:

1. *IFAP is located at ifap.ed.gov*
2. *Page 3 of Appendix B has instructions on how to subscribe to IFAP updates.*

Challenge:

How many times a week is IFAP accessed?

Information for Financial Aid Professionals Web Site



FSA Information for Financial Aid Professionals
U.S. Department of Education

Optimized for 4.x Browsers and Above - Download Here

IFAP is a site for financial aid professionals, banks, lenders, institutions and guarantee agencies The IFAP online library contains technical publications, regulations and policy guidance on the administration of the Federal Student Aid programs.

Current Publications by Title   Publications by Topic   Archived Publications by Title

Last Update - Thursday, March 28, 2002

Click on these links for more information!

2002 Negotiated Rulemaking

First Federal Student Aid (FSA) Technology Conference

- Action Letters
- Dear Partner (Colleague) Letters
- Electronic Announcements
- New Federal Registers
- Regulations Compilations
- Handbooks

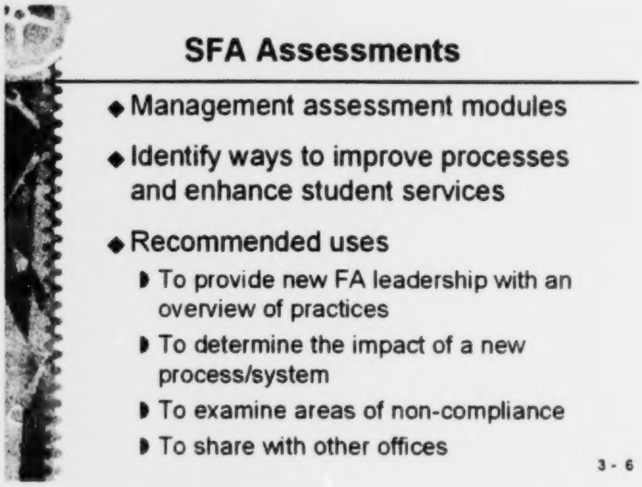
Enter your search phrase (in your own words):

- Advanced Search
- About this Search

Home | Privacy Statement | Help
Copyright © 2000, IFAP. All rights reserved

URL: ifap.ed.gov

User name and password are required to request and receive electronic updates.



SFA Assessments

- Management assessment modules
- Identify ways to improve processes and enhance student services
- Recommended uses
  - To provide new FA leadership with an overview of practices
  - To determine the impact of a new process/system
  - To examine areas of non-compliance
  - To share with other offices

3 - 6

SFA Assessments Ensure Program Integrity

The SFA Assessments are management assessment modules developed to help schools assess the policies and practices of their federal student aid programs. While these modules provide a number of benefits, two of the most important ones are:

- Ensuring program compliance (i.e., program integrity)
- Identifying opportunities to improve and enhance student services

Each module includes a self-assessment that is essentially a set of questions about the school's practices on a given topic, such as student eligibility. After completing a module, the results can be assessed to:

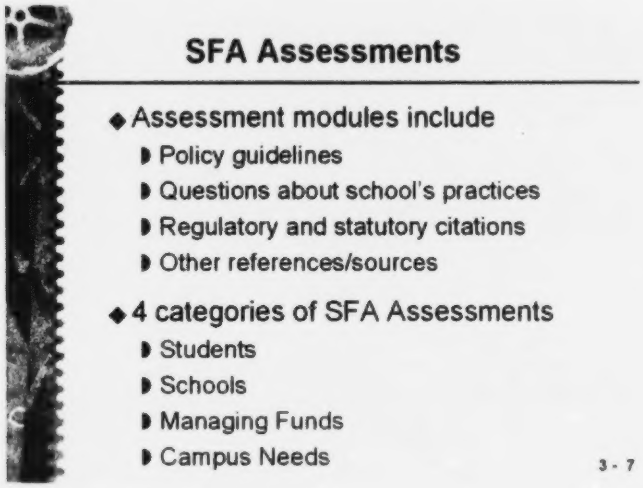
- Determine how well your school is following federal financial aid policies and guidelines
- Identify opportunities for improvement
- Determine if your school's policies and practices need to be revised

Some examples of uses for the SFA Assessment modules include:

- To provide new financial aid administrative leadership with an overview of the school's practices and policies
- To determine the impact of a newly implemented procedure or system
- To focus on areas of non-compliance identified through an audit, program review, peer review, etc.
- To share with other offices to ensure separation of duties as well as compliance with regulations that impact those particular offices

Challenge:

What other ways could you use the self-assessment modules to ensure or enhance your school's federal student aid program integrity?



SFA Assessments

- Assessment modules include
  - Policy guidelines
  - Questions about school's practices
  - Regulatory and statutory citations
  - Other references/sources
- 4 categories of SFA Assessments
  - Students
  - Schools
  - Managing Funds
  - Campus Needs

3 - 7

SFA Assessments Ensure Program Integrity

Along with the self-assessment questions, each assessment module also includes:

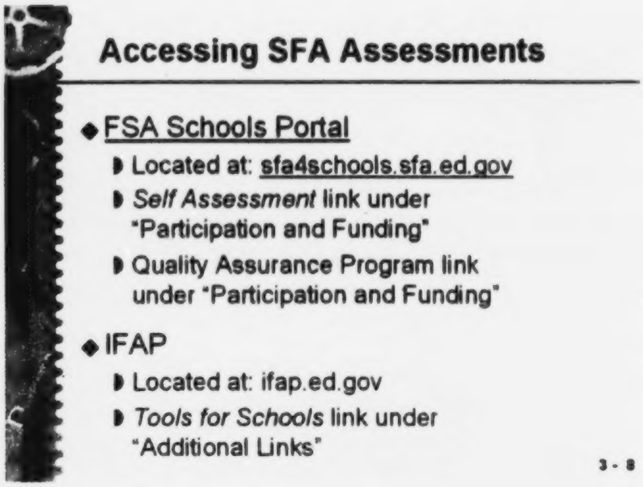
- Overview/description of the module
- Corresponding policy guidelines
- Corresponding regulatory and statutory citations
- Corresponding references to the Student Financial Aid Handbook
- Management Enhancement Form
- Other FSA references and materials, such as the Recertification web site, the Blue Book and Dear Partner Letters
- Technical assistance resources
- Listing of other related modules

The four categories of SFA Assessments are:

- Students
- Schools
- Managing Funds
- Campus Needs

Note:

The Management Enhancement Form is another tool that helps address and document problems found as a result of completing any of the self-assessments.



Accessing SFA Assessments

- FSA Schools Portal
  - Located at: sfa4schools.sfa.ed.gov
  - *Self Assessment* link under "Participation and Funding"
  - Quality Assurance Program link under "Participation and Funding"
- IFAP
  - Located at: ifap.ed.gov
  - *Tools for Schools* link under "Additional Links"

3-8

Accessing SFA Assessments

The SFA Assessments were developed in partnership with the Quality Assurance Program staff and Case Management team members. These modules can be accessed via links from the Schools Portal, via a link from the IFAP web site, or directly from the Quality Assurance Program web site. Although the modules are housed on the FSA Quality Assurance Program web site, they are available to *all* schools.

Once at the SFA Assessments site, click the link of the category you want to access, then click the link to a particular module. Some modules are interactive. Interactive modules can be completed online, then the information can be saved for later retrieval, or it can be printed. To save the information online, you will need to enter your school's OPE ID and a password. You can also download all assessment modules as Microsoft Word documents, with the interactive modules in "Tour only" mode.

Some features of the SFA Assessments site include:

- "Contact Us" link that allows you to send an email directly to any of the Regional QA Program Analysts listed
- Link to the "Effective Practices" form that you can complete and submit to share your own institutional practices, procedures, and policies that have worked well (this link is currently under construction, and will be available soon)

FSA anticipates adding more modules and updating the SFA Assessments site annually. Therefore, your feedback about the effectiveness of the modules and your suggestions for improvements and new modules are needed and encouraged.

Note:

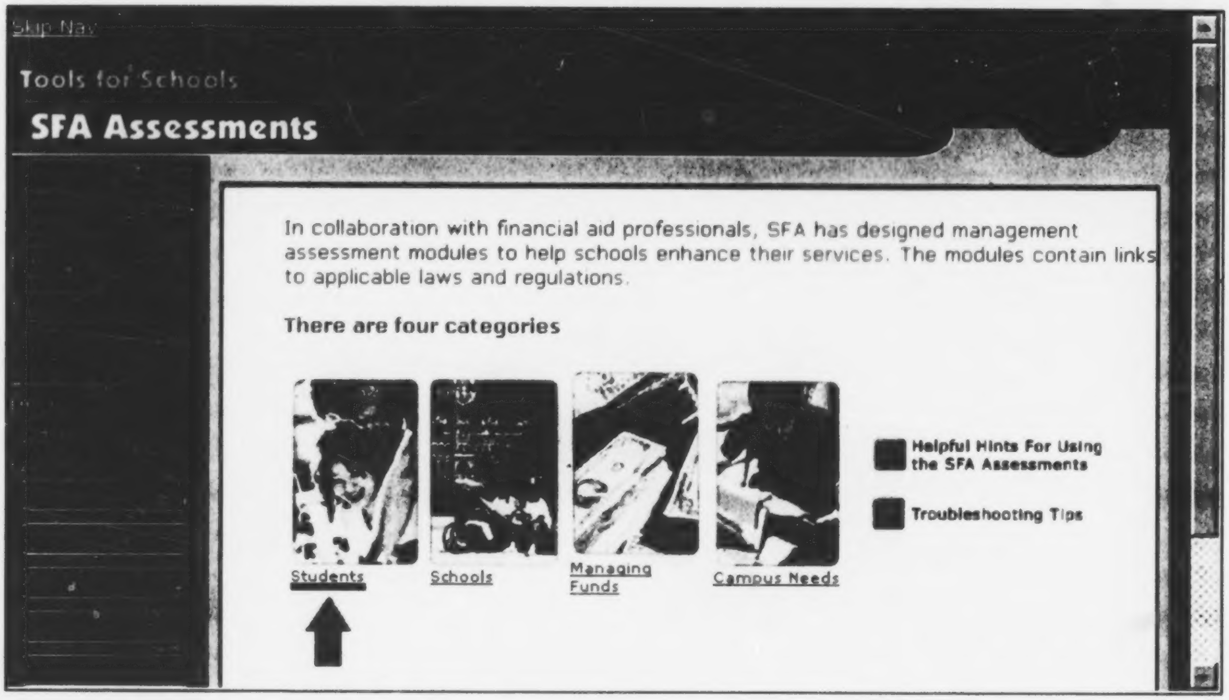
SFA Assessments can be accessed directly from the Quality Assurance Program web site at qaprogram.air.org

SFA Assessment Modules

Category	Module	Interactive	Description
Students	Student Eligibility	No	Based on a review of a small sample of student files, evaluates the effectiveness of the financial aid policies and procedures concerning student eligibility (e.g., citizenship, valid Social Security number, enrolled as a regular student in an eligible program, etc.).
Students	Awarding Aid	No	Based on a review of a small sample of student files, evaluates the effectiveness of the school's Title IV awarding procedures (e.g., Pell Grant eligibility and award amount).
Students	Satisfactory Academic Progress	Yes	Helps the school determine if its SAP policy complies with federal regulations (e.g., SAP policy is in writing).
Schools	Institutional Eligibility	No	Evaluates the management procedures regarding Institutional Participation (e.g., approved Program Participation Agreement).
Schools	Consumer Information	Yes	Assists schools with requirements for consumer information. Includes all applicable requirements and examples of such, followed by questions to review consumer information requirements in place at the school and to determine if these requirements are in compliance with all applicable regulations.
Schools	Recertification	Yes	Helps the school update its recertification application by providing instructional information and asking for a review of policies and procedures to ensure compliance with all applicable requirements.
Schools	Change in Ownership	Yes	Helps schools prepare for change in ownership and respond to the specific requirements throughout the process. Includes specific instructions for mergers.
Managing Funds	General Fiscal Matters	No	Evaluates the effectiveness of the institution's Title IV fiscal procedures.
Managing Funds	Disbursing Aid	No	Evaluates the effectiveness of the school's Title IV disbursement procedures.
Managing Funds	Reporting and Reconciling	No	Evaluates the school's management procedures regarding the effectiveness of and compliance with reporting and reconciliation.

Category	Module	Interactive	Description
Managing Funds	Financial Responsibility and Cash Management	Yes	Assesses all areas related to Financial Responsibility and Cash Management.
Managing Funds	Return of Title IV Funds	Yes	Ensures that Title IV funds are handled correctly when a recipient of those funds ceases to be enrolled prior to the end of the period of enrollment for which the recipient was charged.
Managing Funds	Perkins: Due Diligence	No	Evaluates the school's procedures regarding Federal Perkins Loan collections.
Managing Funds	Perkins: Repayment	No	Evaluates the school's procedures regarding Federal Perkins Loan repayment.
Managing Funds	Perkins: Cancellation	No	Evaluates the school's procedures regarding Federal Perkins Loan cancellation.
Managing Funds	Perkins: Forbearance and Deferment	No	Evaluates the school's procedures regarding Federal Perkins Loan forbearance and deferment.
Campus Needs	Automation	No	Evaluates management procedures regarding compliance with automation.
Campus Needs	Administrative Capabilities	No	Helps the school determine Title IV and non-Title IV areas where management operations should be assessed.

SFA Assessments Web Site

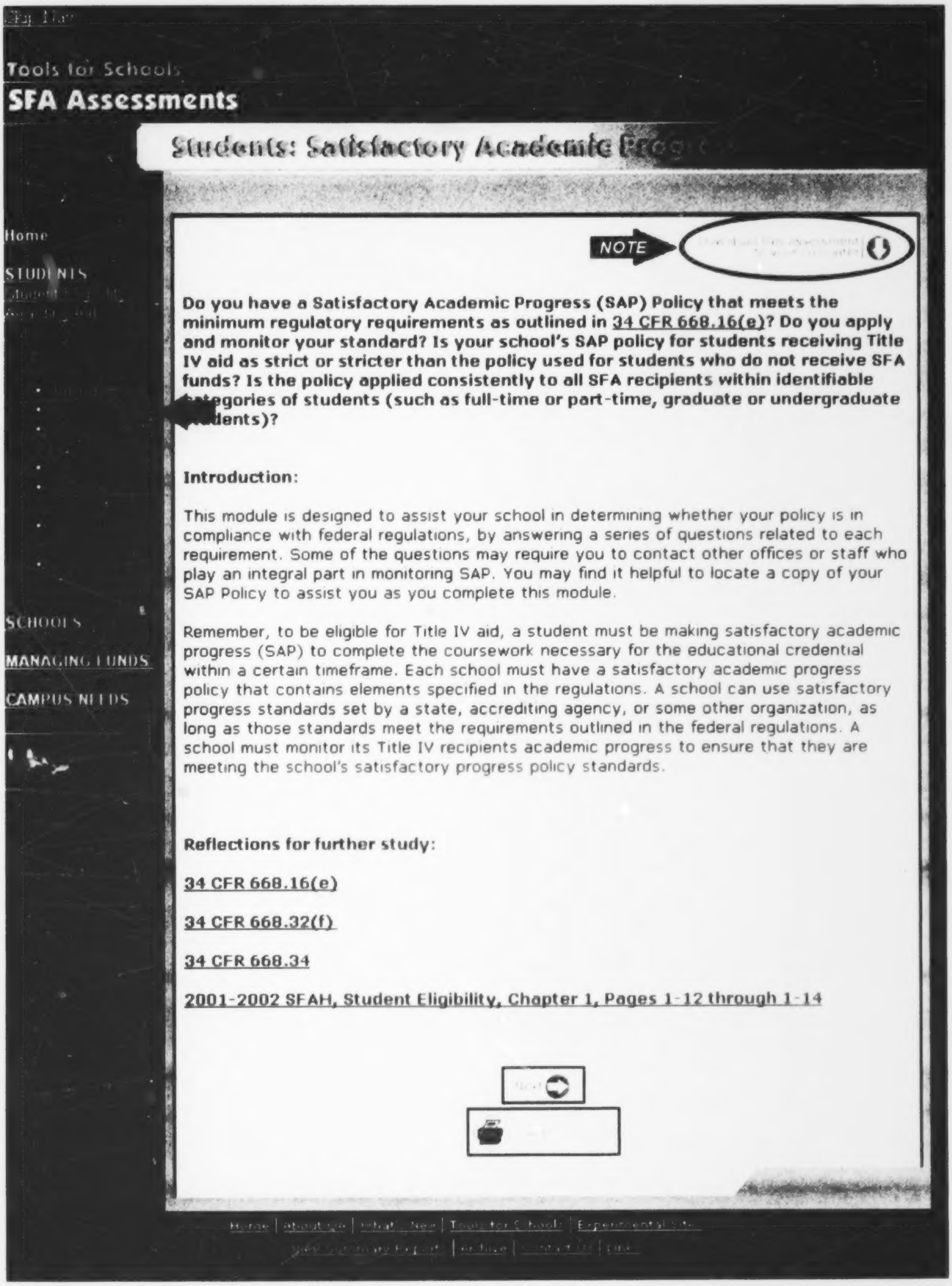

Skip Nav
Tools for Schools
SFA Assessments
Students
Schools
Managing Funds
Campus Needs
Helpful Hints For Using the SFA Assessments
Troubleshooting Tips

In collaboration with financial aid professionals, SFA has designed management assessment modules to help schools enhance their services. The modules contain links to applicable laws and regulations.

There are four categories

URL: qaprogram.air.org/SFAAssessment.asp

OPE ID and password are required to use interactive modules.


Tools for Schools
SFA Assessments
Students: Satisfactory Academic Prog
Home
STUDENTS
SCHOOLS
MANAGING FUNDS
CAMPUS NEEDS
NOTE
Home | About Us | What's New | Tools for Schools | Experimental Site

Do you have a Satisfactory Academic Progress (SAP) Policy that meets the minimum regulatory requirements as outlined in 34 CFR 668.16(e)? Do you apply and monitor your standard? Is your school's SAP policy for students receiving Title IV aid as strict or stricter than the policy used for students who do not receive SFA funds? Is the policy applied consistently to all SFA recipients within identifiable categories of students (such as full-time or part-time, graduate or undergraduate students)?

Introduction:

This module is designed to assist your school in determining whether your policy is in compliance with federal regulations, by answering a series of questions related to each requirement. Some of the questions may require you to contact other offices or staff who play an integral part in monitoring SAP. You may find it helpful to locate a copy of your SAP Policy to assist you as you complete this module.

Remember, to be eligible for Title IV aid, a student must be making satisfactory academic progress (SAP) to complete the coursework necessary for the educational credential within a certain timeframe. Each school must have a satisfactory academic progress policy that contains elements specified in the regulations. A school can use satisfactory progress standards set by a state, accrediting agency, or some other organization, as long as those standards meet the requirements outlined in the federal regulations. A school must monitor its Title IV recipients academic progress to ensure that they are meeting the school's satisfactory progress policy standards.

Reflections for further study:

34 CFR 668.16(e)

34 CFR 668.32(f)

34 CFR 668.34

2001-2002 SFAH, Student Eligibility, Chapter 1, Pages 1-12 through 1-14

Key Learning Points

Complete the exercises below to check what you learned about the key points presented in this session.

Column B provides descriptions of various features and functions of the FSA Schools Portal. Each term listed at the bottom of the page corresponds to one of the descriptions in Column B. For each description in Column B, write the name of the feature or function in Column A.

Column A	Column B
	1. Contains Reference Library, FAA Access to Student Data, Book Store, Participation & Funding, Conferences & Training.
	2. Displays FSA News and links to other important news items.
	3. Gives user access to a customized version of the FSA Schools Portal.
	4. Allows users to submit feedback and suggestions about the Schools Portal web site by email to the web site manager.
	5. An electronic gateway to a wide variety of FSA resources and links.
	6. Allows user to search the FSA sites and the IFAP database.
	7. Web site that provides customized FSA information updates by email.
	8. A logical combination system that represents relationships using the operators AND, OR and NOT.
	9. Provides user with online help and customer service contact information.
	10. Hyperlinks display events, deadlines, training and NPRMs of interest.
	11. Allows user to filter the web site options so that the screen and links best fit individual needs.
	12. Online listing of frequently asked questions about Schools Portal.
	13. Comprehensive listing of call/service centers supported by FSA.
	14. Allows user to send questions by email directly to the FSA Customer Service Call Center.
	15. Allows user to complete an online request to have an event posted to the calendar.

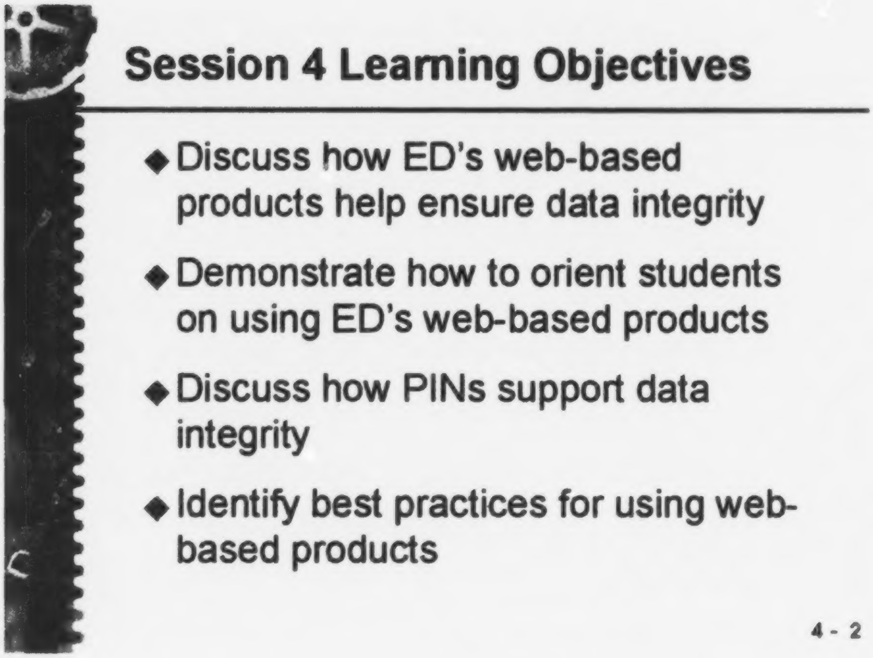
Terms:

Portal Feedback
My FSA
FSA Links
FSA Headlines
Boolean

FSA Search
FSA Calendar
Portal Help
FAQs
Contacts

Calendar Item
FSA Schools Portal
Got a Question?
IFAP
Customize

Session 4 — Application Integrity



Session 4 Learning Objectives

- Discuss how ED's web-based products help ensure data integrity
- Demonstrate how to orient students on using ED's web-based products
- Discuss how PINs support data integrity
- Identify best practices for using web-based products

Tools

Corrections on the Web

Web-based method of making corrections to data submitted on the FAFSA.

Located at: **fafsa.ed.gov**

PIN is required to access student information.

FAFSA on the Web

Web-based Free Application for Federal Student Aid that allows students to complete their FAFSA application faster and more easily than any other application method.

Located at: **fafsa.ed.gov**

FAFSA on the Web Demo

Demonstration site that offers all the functionality features of the live FAFSA on the Web site. With it, students can try out FAFSA on the Web functions and FAAs can demonstrate its features. Although data can be submitted, the database is cleared nightly because this site is not live.

Located at: **fafsademo.test.ed.gov**

User ID: **eddemo** Password: **fafsatest**

PIN

Personal Identification Number that serves as an identifier to allow students and parents to access their personal information in U.S. Department of Education systems. The PIN also can be used to electronically sign the FAFSA and make corrections electronically to data submitted on the FAFSA.

Located at: **pin.ed.gov**

Renewal FAFSA on the Web

Web-based Renewal Free Application for Federal Student Aid.

Located at: **fafsa.ed.gov**

PIN is required to access student information.

Key Terms

Central Processing System (CPS)

U.S. Department of Education's application data processing facility. The CPS uses student information from the Free Application for Federal Student Aid (FAFSA) to calculate the student's official Expected Family Contribution (EFC) and to perform matches against certain other databases (e.g. Social Security Administration); creates and transmits to schools the Institutional Student Information Record (ISIR), and sends or emails (if an email address is provided) the Student Aid Report (SAR) to the student.

eMPN

Web-based (electronic) Master Promissory Note that allows a student to complete and sign an MPN over the web as an alternative to using a paper MPN. Users must have a PIN to initiate the process.

Federal School Code

Unique code assigned by the U.S. Department of Education to a school participating in the Title IV student financial aid programs and used for data entry processing with the CPS and other systems.

Master Promissory Note (MPN)

Legal document requiring that a student loan borrower repay the funds borrowed under the Direct Loan Program or under the Federal Family Educational Loan Program. Some students use the MPN to accept one loan. Other students, at schools approved by the U.S. Department of Education, may use the MPN to accept several loans. Use of the MPN form simplifies the loan process by eliminating the need for eligible students to complete a promissory note every year they borrow.

National Student Loan Data System (NSLDS)

A system for storing comprehensive information about the federal financial aid history of students who receive assistance under Title IV of the Higher Education Act of 1965, as amended. Stores information about loans, grants, students, borrowers, lenders, guaranty agencies (GAs), schools, and loans servicers and provides an integrated view of Title IV loans and grants during all stages of their life cycle from aid approval through disbursement, repayment, delinquency and closure.

Located at: **nsldsfap.ed.gov**

Enrollment as a Student Aid Internet Gateway (SAIG) user required to access this site.

How Does the Web Help Ensure the Integrity of the Data Students Provide?

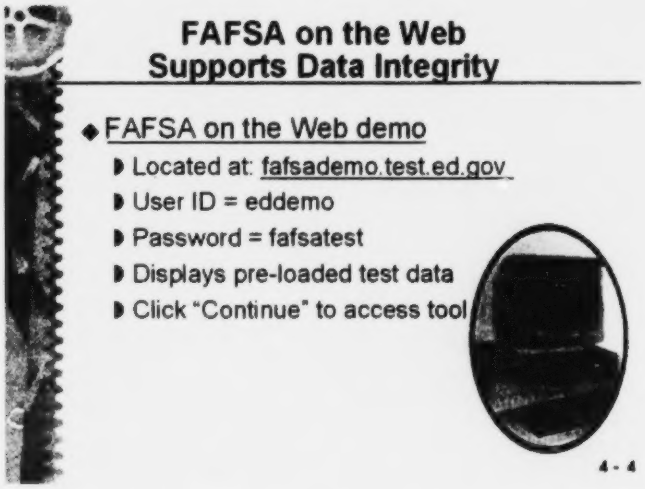
Web-Based Products Help Ensure Data Integrity

- What are the various electronic tools and products provided to students to help them provide accurate data?

- In addition to providing applicant data, what other electronic tools help streamline the financial aid process?

Notes:

1. *FAFSA on the Web is located at fafsa.ed.gov*
2. *If the student applicant provides an email address, he or she can receive a response in as little as one day.*
3. *Plans for revising the 2003-2004 paper FAFSA include asking the applicant to provide an email address.*
4. *Direct Loan Entrance Counseling may be accessed via ed.gov/directloan/*
5. *Direct Loan Exit Counseling may be accessed via www.dlssonline.com/*
6. *Direct Loan Master Promissory Note (e-MPN) is located at dlenote.ed.gov*
7. *Most FFEL guaranty agencies and lenders provide comparable online loan entrance and exit counseling services.*



FAFSA on the Web Supports Data Integrity

- FAFSA on the Web demo
  - Located at: fafsademo.test.ed.gov
  - User ID = eddemo
  - Password = fafsatest
  - Displays pre-loaded test data
  - Click "Continue" to access tool

4 - 4

FAFSA on the Web Supports Data Integrity

FAFSA on the Web is another great tool provided by ED for the benefit of students and the financial aid community alike. In promoting its use to high school guidance counselors, students and parents, financial aid administrators should consider using the FAFSA on the Web demo product, since it allows users to practice using the web-based products available to federal student financial aid applicants. This site offers all the features of the FAFSA on the Web production site.

- Who can use the FAFSA on the Web demo site?

- What FAFSA on the Web functions are available on the demo site?

- Other than demonstrating FAFSA on the Web to new students, what other ways you could use the demo site?

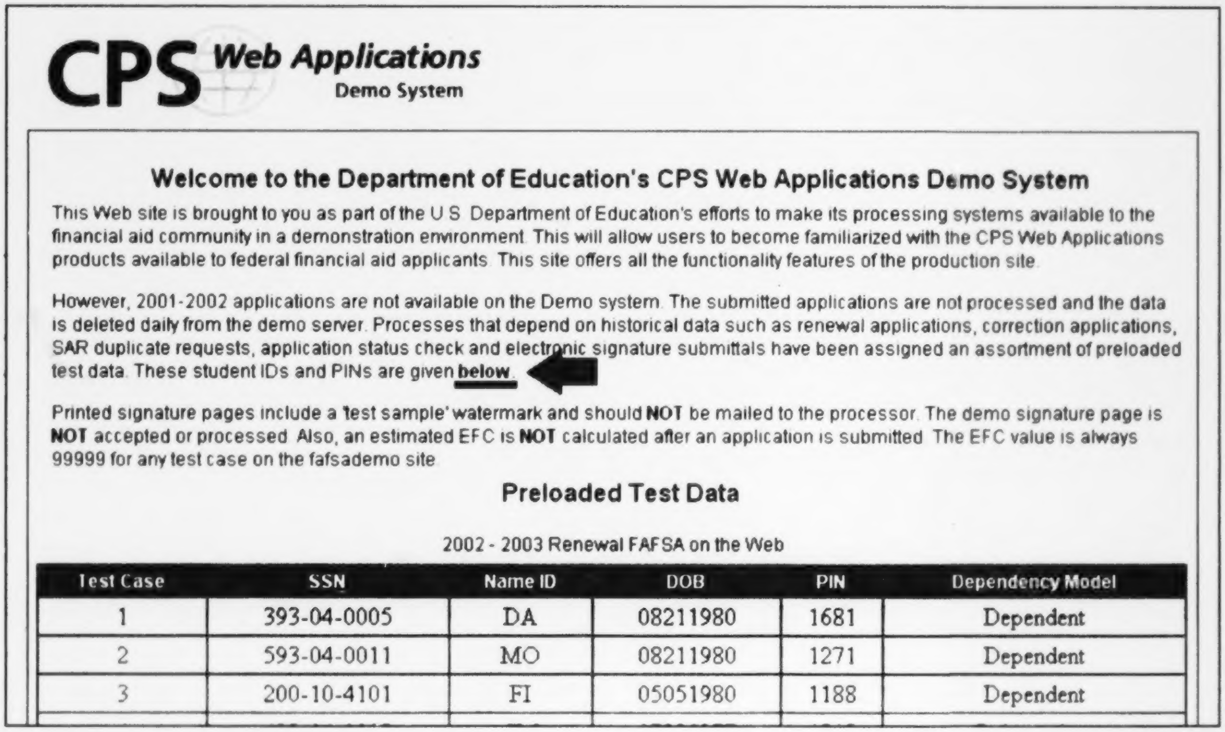
Notes:

1. *The FAFSA on the Web demo site is located at fafsademo.test.ed.gov*
2. *Although the FAFSA on the Web demo site is very useful for orienting new students to FAFSA on the Web, its main purpose is to provide FAAs practice access to the various web-based products.*

Challenge:

In what language other than English is FAFSA on the Web available?

FAFSA on the Web Demo Site



CPS *Web Applications*
Demo System

Welcome to the Department of Education's CPS Web Applications Demo System

This Web site is brought to you as part of the U.S. Department of Education's efforts to make its processing systems available to the financial aid community in a demonstration environment. This will allow users to become familiarized with the CPS Web Applications products available to federal financial aid applicants. This site offers all the functionality features of the production site.

However, 2001-2002 applications are not available on the Demo system. The submitted applications are not processed and the data is deleted daily from the demo server. Processes that depend on historical data such as renewal applications, correction applications, SAR duplicate requests, application status check and electronic signature submittals have been assigned an assortment of preloaded test data. These student IDs and PINs are given **below**.

Printed signature pages include a 'test sample' watermark and should **NOT** be mailed to the processor. The demo signature page is **NOT** accepted or processed. Also, an estimated EFC is **NOT** calculated after an application is submitted. The EFC value is always 99999 for any test case on the fafsademo site.

Preloaded Test Data

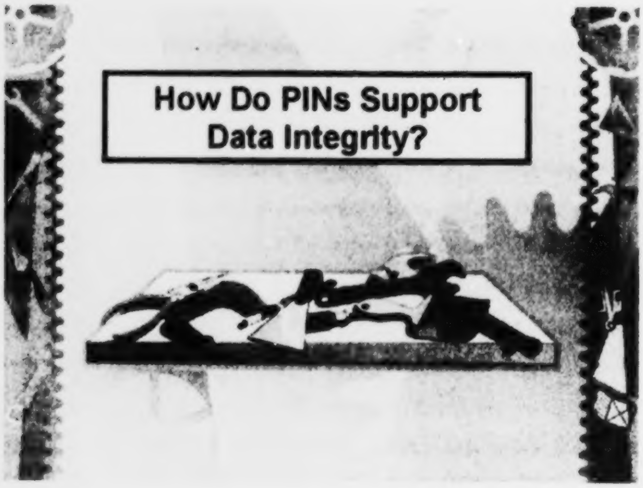
2002 - 2003 Renewal FAFSA on the Web

Test Case	SSN	Name ID	DOB	PIN	Dependency Model
1	393-04-0005	DA	08211980	1681	Dependent
2	593-04-0011	MO	08211980	1271	Dependent
3	200-10-4101	FI	05051980	1188	Dependent

URL: fafsademo.test.ed.gov/

User name = eddemo

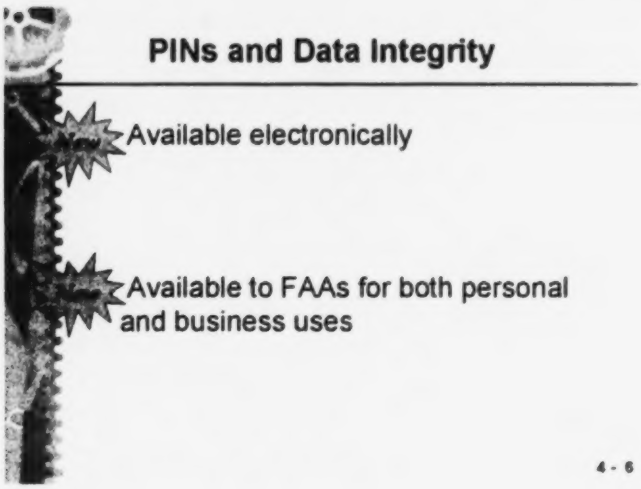
Password = fafsatest



How Do PINs Support Data Integrity?

PINs Support Data Integrity

Write in what you know about PINS	
PIN uses	
Eligible PIN users	
Methods for obtaining PINs	
PINs and Data Integrity	



PINs and Data Integrity

- Available electronically
- Available to FAAs for both personal and business uses

4 - 8

PINs and Data Integrity

As the previous discussion pointed out, you know quite a bit about how PINs support data integrity—how they ensure that the data your school receives belongs to your student applicants. However, did you also know that:

- Financial aid administrators may use their PINs for personal as well as FAA/school use
- PIN applicants who provide an email address are able to receive their PINS online
- PIN applicants can personalize the system-generated PIN
- PIN users can disable—either temporarily or permanently—their PINs to stop web access to ED records
- If a PIN is lost or stolen, the PIN user can request a different PIN
- If a PIN is lost or forgotten, the PIN user can request a duplicate PIN

Note:

1. *PIN on the Web is located at pin.ed.gov*
2. *Page 4 of Appendix B contains the steps for requesting a PIN*

What are Your School's Best Practices for Using Web-based Products?

Web-Based Products Improve Customer Service

Take a moment to remember the drawing you made at the beginning of the workshop. Everyone had the same big circle, but the contents looked different. In other words, we all operate according to the same rules and regulations (the big circle), but we have a tremendous amount of flexibility in developing our own practices and processes (the circle contents). Let's look at each other's circles and explore other practices.

Learning Activity

Instructions:

1. Get together with your small group and select a spokesperson.
2. Share your school's best practices for incorporating web-based products into your financial aid process.
3. Be prepared to share your small group's list of best practices with the entire group.

My School's Best Practices

My Group's Best Practices

Key Learning Points

Complete the exercises below to check what you learned about the key points presented in this session.

True or False

________ 1. Only students can apply for a PIN.

________ 2. Only returning students can use FAFSA on the Web.

________ 3. Only students who previously applied using FAFSA on the Web can use the Renewal FAFSA on the Web.

________ 4. Students and parents of dependent students must have a PIN to make corrections to FAFSA data using Corrections on the Web.

________ 5. The eMPN is a web-based Master Promissory Note.

________ 6. Only a student's loan history is maintained in the National Student Loan Data System (NSLDS) database.

________ 7. Parents of more than one dependent student applicant must have a separate PIN for each application they sign.

Fill In the Blanks

8. The acronym for Personal Identification Number is ____________.

9. ______ ____ _____ ________ may be used by students to complete their applications for federal student aid faster and more easily than any other application method.

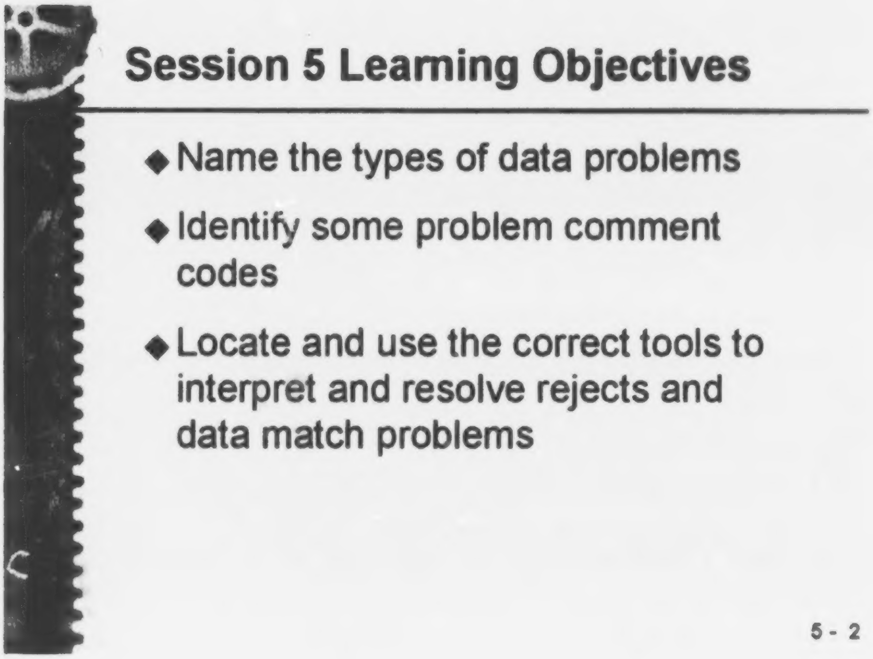
10. ____________ is the ED's central database for student financial aid history.

11. Most data submitted on the FAFSA can be corrected using ____________ ____ ____ ______ if a student has a PIN.

12. The web-based instrument used by some students to accept one or more loans is called ______.

13. _________ _____ _______ _________ _________ is a useful tool for orienting new students to using FAFSA on the Web.

Session 5 Correction Integrity



Session 5 Learning Objectives

- Name the types of data problems
- Identify some problem comment codes
- Locate and use the correct tools to interpret and resolve rejects and data match problems

Tools

2002-2003 EDE Technical Reference

Electronic Data Exchange (EDE) Technical Reference - Includes reference material for programmers and data processing staff regarding use of both the EDExpress software and the EDconnect software (used for sending and receiving electronic files). Includes information about record layouts, required edits, print assistance, and reject messages that are applicable to electronic federal student financial aid applications, Institutional Student Information Records (ISIRs), electronic corrections, and signature records.

Located at: **sfadownload.ed.gov**

2002-2003 ISIR Guide

Assists financial aid administrators (FAAs) in interpreting student information from an Institutional Student Information Record (ISIR). Also explains codes and flags that appear in the FAA Information section of the ISIR.

Located at: **ifap.ed.gov** (current publications by title)

2002-2003 SAR/ISIR Comment Codes and Text

Companion to the EDE Technical Reference. Also serves as a stand-alone guide in interpreting SAR/ISIR comment codes and text.

Available at: **sfadownload.ed.gov**

FAA Access on the Web

Web-based access provided to financial aid administrators to view student information, make corrections, check batch status and request PINs for students.

Located at: **fafsa.ed.gov/FAA/faa.htm**

PIN required to access student information.

Key Terms

Comment Code

Numeric code that indicates a problem or question about FAFSA data.

Comment Code Text

Comment to the student about the processing results and what action the student must take, if any.

Data Assumptions

Assumption CPS makes when certain FAFSA information provided has determined to be contradictory. For example, if the student reports that he or she is married, and provides two incomes while reporting only one in the household, the CPS assumes two in the household. If the CPS assumption is incorrect, the student can make corrections. The FAA can override selected assumptions when making electronic applications and corrections.

Database Matches

Matches by CPS of FAFSA information with other databases, including the Social Security Administration, Selective Service, Department of Veterans Affairs, Immigration and Naturalization Service and National Student Loan Data System.

Data Rejects

CPS rejects of application data due to the omission of required information or the submission of information in the wrong format. For example, an application not signed by the student will be rejected, as will an application having a numeric field for which the response provided was alphabetic characters (letters). When an application is rejected, no EFC is calculated.

Destination Point Administrator (DPA)

Individual who represents an organization involved in the administration of Title IV student financial aid programs (such as a postsecondary institution, FFEL lender or guaranty agency, third-party servicer, or software provider) and is enrolled on the Student Aid Internet Gateway and assigned a destination point.

Expected Family Contribution (EFC)

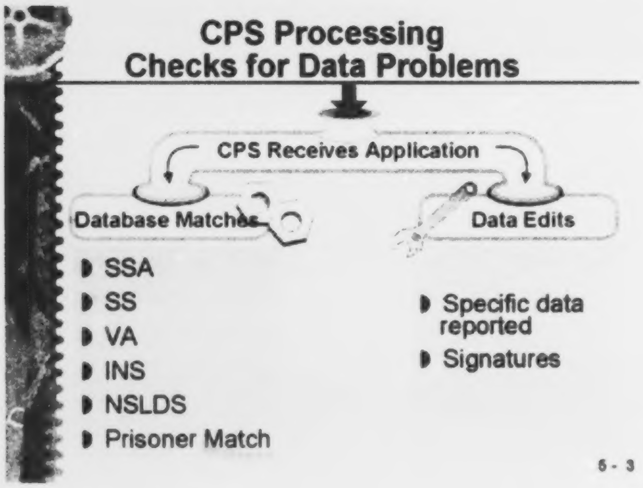
A calculation based on a formula established by Congress of how much the student and his or her family can be expected to provide toward the cost of the student's education. Data for the EFC calculation comes from the FAFSA submitted by the student.

INS Secondary Confirmation Flag

Indicator that, after the initial match with the Immigration and Naturalization Service database failed, the CPS sent information to INS a second time to confirm that the FAFSA applicant is an eligible non-citizen.

Match Flags

Alphabetic or numeric codes showing the results of matching the application record with the various databases containing information that can affect eligibility.



CPS Processing Checks for Data Problems

CPS Receives Application

Database Matches

- SSA
- SS
- VA
- INS
- NSLDS
- Prisoner Match

Data Edits

- Specific data reported
- Signatures

5 - 3

CPS Processing Checks for Data Problems

As the illustration above shows, once student application data is submitted to the Central Processing System (CPS), two separate data validation processes take place.

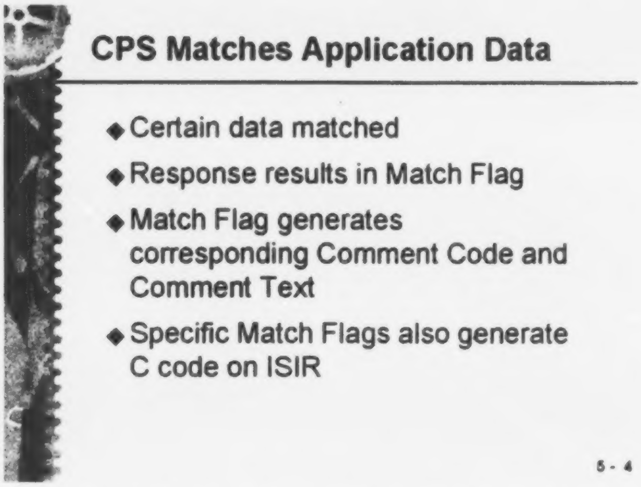
The left side illustrates that certain pieces of data, such as name, date of birth, Social Security number, citizenship status, etc., are matched against the databases of specific federal agencies. The purpose of these database matches is to confirm the student's identification and status.

The right side shows that the CPS edits all of the application data reported to make sure it is consistent, complete and valid.

The ISIR the school receives reflects the results of both processes.

Note:

The Prisoner match against the Social Security Administration database currently is not working.



CPS Matches Application Data

- Certain data matched
- Response results in Match Flag
- Match Flag generates corresponding Comment Code and Comment Text
- Specific Match Flags also generate C code on ISIR

5-4

CPS Matches Application Data

Once the student application data is matched against the database of a particular agency, the agency returns a response to the CPS, which results in a specific match flag. The match flag generates the corresponding comment code and comment text.

The comment code is provided on the ISIR. In addition, certain match comments also generate the C code that is displayed next to the EFC on the SAR and printed ISIR.

Note:

Appendix D of this workbook is a learning aid that contains all ISIR comment codes, comment text, match flags and reject codes.

Challenges:

1. *Does each match flag correspond to a specific database or agency?*
2. *What is the significance of a C code?*

CPS Edits Application Data

Data checked to make sure it is complete, consistent, and valid

- Assumptions and Highlights
- Rejects
  - Non-verifiable
  - Verifiable

5 - 5

CPS Edits Application Data

The CPS edits the student application data to make sure the data is complete, consistent and valid. Problems with data result in assumptions and highlights and/or rejects—issues separate from database match problems.

Assumptions and Highlights

In some instances, when applicants omit certain information or report specific data that seems inconsistent, the CPS assumes what the correct value should be and uses it to calculate the EFC. Assumed values are highlighted on the ISIR the school receives and on the Student Aid Report the student receives.

Both the student and the school need to pay careful attention to this information. If the assumed data is incorrect, the student can make the necessary corrections. Or the FAA can override certain assumptions on electronic applications and corrections.

Rejects

In other instances, the application is rejected because of a conflict—for example, the student answered that he or she is not married but provides financial information for a spouse. The CPS does not calculate an EFC, since key financial information is conflicting or missing. Again, both the student and the school need to need to pay careful attention to this information so that the appropriate action can be taken to resolve the reject.

The two types of rejects are: (1) non-verifiable and (2) verifiable. If a reject is verifiable, the information may be correct but must be verified by the student via a correction. Or the FAA can override specific verifiable rejects on electronic applications or electronic corrections.

Challenges:

1. *Who is responsible for resolving a rejected SAR?*
2. *How are assumptions, highlights and corrections indicated on the ISIR?*

Can You Identify and Resolve the Most Common Data Problems?

Identifying and Resolving Data Issues

Chances are, some of your students probably have various application data issues or problems that need to be resolved. The next exercise provides a good review of identifying and resolving some of the most common problems. While completing this activity, think about how the information impacts the award that the student receives.

Learning Activity

Instructions:

1. Break into your small group and select a spokesperson.
2. Each group is assigned a student case study.
3. Work as a group to complete the ISIR Comment Code Grid for your assigned student. Review the group of ISIR comment codes and identify those that represent data issues that need to be reviewed and perhaps resolved.
4. For each problem comment code identified, fill in the appropriate columns in the grid.
5. In addition, be prepared to discuss how this information impacts student award integrity.
6. If you finish before time is called, continue completing the grid for the other students.

"Code" = Comment Code "M" = Match Flag "C" = C Code "R" = Reject Code

Pierre Colnot
ISIR Comment Code = 006, 057, 109, 138, 170

Code	M	C	R	Issue	Resolution

"Code" = Comment Code "M" = Match Flag "C" = C Code "R" = Reject Code

Phoebie Smythe
ISIR Comment Code = 006, 060, 062, 118, 159

Code	M	C	R	Issue	Resolution

Chandler Bingo
ISIR Comment Code = 006, 040, 108, 129, 162

Code	M	C	R	Issue	Resolution

Rachel Greenburg
ISIR Comment Code = 006, 112, 118, 124, 132, 178, 236

Code	M	C	R	Issue	Resolution

Joseph Trippianni
ISIR Comment Code = 006, 030, 041, 053, 112, 133

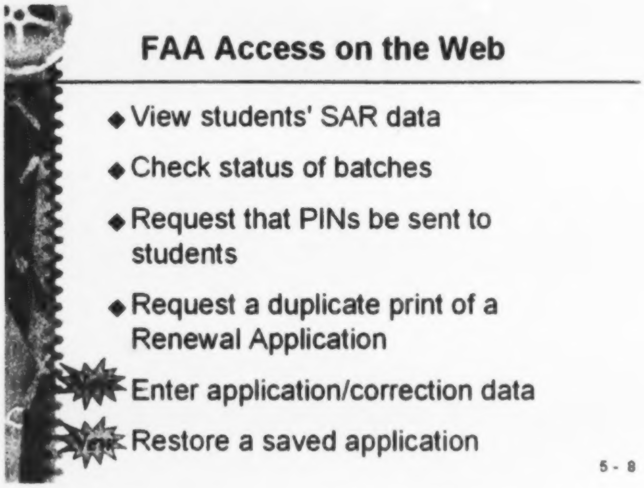
Code	M	C	R	Issue	Resolution

What Tools and Resources Are Available to Help Resolve Data Problems?

And Where Are They Located?

Tools/Resources and Their Locations

Tool/Resource	How to Access		
	Schools Portal	IFAP	SFAdownload
ISIR Guide-Assists schools in interpreting all ISIR information, including data rejects and data matches. Appendix A: Reject Codes Appendix B: Database Matches and Match Flags	✓	✓	✓
Student Financial Assistance Handbook-Provides guidance on how to resolve certain data match problems.	✓	✓	
EDE Technical Reference-Provides programmer specifications and record layouts needed for software systems that interface with the CPS along with other information.	✓	✓	✓
2002-2003 SAR/ISIR Comment Codes and Text- Provides information on comment codes and text, ISIRs, SARs and Acknowledgment Comments. Can be used either as a stand-alone guide or companion to the EDE Technical Reference.	✓	✓	✓
EDExpress-PC software package for electronically submitting applications and corrections to the CPS, as well as managing and administering the delivery of student financial aid information. Provided free of charge by the Department of Education.	✓	✓	✓
EDExpress Application Processing Desk Reference-Includes the general procedures for using the App Express module in the EDExpress software to view and update ISIR information.	✓	✓	✓
Sources of Assistance for Schools-Combines all contacts previously found in the technical references and desk references published by the Department; includes frequently called phone numbers, e-mail addresses, web addresses, etc.	✓	✓	✓
FAA Access on the Web-Provides schools access to student data via the web.	✓	✓	



FAA Access on the Web

- ◆ View students' SAR data
- ◆ Check status of batches
- ◆ Request that PINs be sent to students
- ◆ Request a duplicate print of a Renewal Application
- Enter application/correction data
- Restore a saved application

5 - 8

FAA Access on the Web

FAA Access on the Web has been available since May 2001. Since that time, several enhancements have been made to the web site. FAA Access on the Web allows financial aid administrators to:

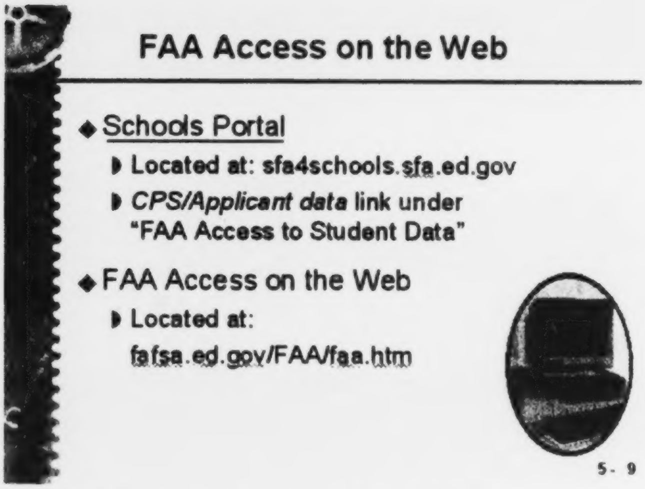
- View students' SAR data, including:
  - Expected Family Contribution (EFC)
  - NSLDS information
  - SAR comments
  - FAA information, including results from data matches and verification selection flags
- Check the status of batches submitted by the school to CPS for processing
  - View sorted by: Federal School Code
  - View sorted by: ISIR Type/Batch Type
- Submit PIN requests to have PINs sent to students instead of paper Renewal FAFSAs
- Enter student application data, including override codes
- Correct student application data, including override codes
- Access a partially saved FAFSA that has been started by the FAA

To gain access to the site, a user must have a Department of Education PIN, and the user's school must be enrolled with the Student Aid Internet Gateway (SAIG).

Each school enrolled with the SAIG has one designated destination point administrator (DPA), and its DPA already should have received a PIN mailer indicating the PIN to use to gain access to the site. DPAs can enroll additional users and designate the functions each user can access.

Note:

Refer to pages 6 through 8 of Appendix B for learning aids that list both the steps for accessing FAA Access on the Web and the steps for enrolling additional FAA users.



FAA Access on the Web

- Schools Portal
  - Located at: sfa4schools.sfa.ed.gov
  - *CPS/Applicant data* link under "FAA Access to Student Data"
- FAA Access on the Web
  - Located at: fafsa.ed.gov/FAA/faa.htm

5- 9

FAA Access on the Web

Like most other tools and resources provided by the Department, FAA Access on the Web can be accessed several ways:

- Via the Schools Portal at sfa4schools.sfa.ed.gov
- From the main site at fafsa.ed.gov/FAA/faa.htm

Remember, user access can be provided to all or just some of the services available via FAA Access on the Web.

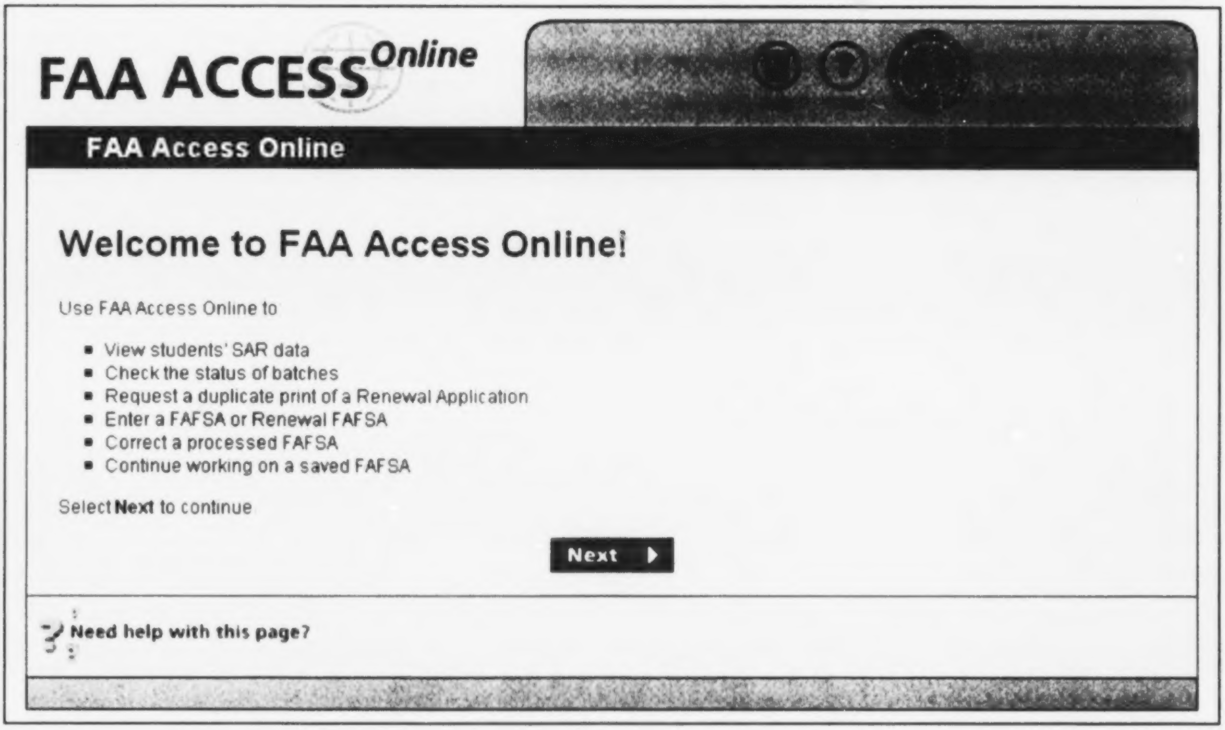
Note:

Refer to ***ifap.ed.gov*** *for a recent action letter that provides detailed information about enhancements to the FAA Access on the Web site, including Web Chat Help.*

Challenge:

What is the URL of the web site where FAAs can apply for PINs?

FAA Access on the Web


FAA ACCESS Online
FAA Access Online
Next
Need help with this page?

Welcome to FAA Access Online!

Use FAA Access Online to

- View students' SAR data
- Check the status of batches
- Request a duplicate print of a Renewal Application
- Enter a FAFSA or Renewal FAFSA
- Correct a processed FAFSA
- Continue working on a saved FAFSA

Select **Next** to continue

URL: fafsa.ed.gov/FAA/faa.htm

PIN is required to access student information.

Key Learning Points

The exercise below is designed to guide your learning throughout this session. Remove the page and try to answer all of the questions about these key learning points.

Fill In the Blanks

1. Identify the database against which FAFSA information is matched to determine the FAFSA applicant's eligibility for federal student financial aid:
   a. To verify that the name, date of birth and Social Security number are correct, each applicant is matched against the ________________________________ database.
   b. The federal student financial aid history of each applicant is retrieved from the ____________ database.
   c. The ____________________ database is matched to determine the eligibility of students who are not U.S. citizens.
   d. The ____________________ database is matched for male applicants (18 years or older).
   e. The ____________________ database is matched for veterans status.
2. CPS edits of FAFSA data may trigger a number of different reject codes, all of which result in ____. Resolution *is required* to disburse aid.
3. Sometimes when paper FAFSA applicants report data that seems inconsistent, edits performed by the CPS trigger ________________________, which replace data the applicant reported with other data that seems to be more consistent.
4. FAA Access on the Web gives you easy access to student data so that you can view the student's SAR data, check the status of batches submitted for processing, make _____________ to the application, and request that a ________ be sent to the student.

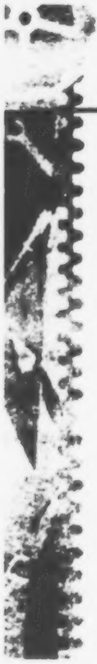
Yes or No?

5. The destination point administrator (DPA) at each school has received a PIN giving them access to FAA Access on the Web.

   ________ a. Can this PIN be used to sign a FAFSA for themselves or their child?

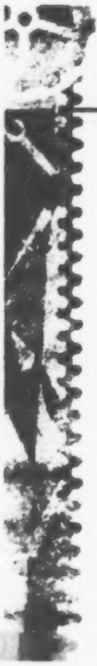
   ________ b. Can other staff members also receive a PIN?

Session 6 — Student Award Integrity



Session 6 Learning Objectives

- Discuss impact of NSLDS Transfer Monitoring on program integrity
- Describe set-up for NSLDS Transfer Monitoring
- Outline steps to NSLDS Transfer Monitoring process



Session 6 Learning Objectives

- Discuss impact of verification on program integrity
- List verification requirements and acceptable documentation
- Identify issues related to institutional verification policies
- Identify verification tools and resources

Tools

EDExpress Verification Worksheet

Tool within the EDExpress software for comparing ISIR data with data a federal student financial aid applicant provides on verification documents, such as federal tax returns or Federal Verification Worksheets. Displays the differences between these two sources of information so that the FAA can tell if the differences are within the tolerance level. EDExpress users can also update both the student and parent ISIR information to submit ISIR corrections to the CPS.

Available for download at: **sfadownload.ed.gov**

Federal Verification Worksheets

Forms designed to assist schools in confirming the accuracy of information reported on the Free Application for Federal Student Aid (FAFSA).

Available for download at: **ifap.ed.gov/vgworksheets/0203VWkSheets.html**

National Student Loan Data System (NSLDS)

A system for storing comprehensive information about the federal financial aid history of students who receive assistance under Title IV of the Higher Education act of 1965, as amended. Stores information about loans, grants, students, borrowers, lenders, guaranty agencies (GAs), schools, and loan servicers and provides an integrated view of Title IV loans and grants during all stages of their life cycles from aid approval through disbursement, repayment, delinquency and closure.

Located at: **nsldsfap.ed.gov**

Enrollment as a Student Aid Internet Gateway (SAIG) user is required to access this site.

Quality Analysis Tool for Verification

Software to help schools analyze FAFSA application information reported on the ISIR. The data is used to determine the impact that changes to student-reported information had on EFC and Pell eligibility.

Available for download at: **sfadownload.ed.gov**

Student Aid Internet Gateway (SAIG)

Web-based system for providing Title IV-eligible postsecondary institutions, third-party servicers, state agencies, lenders and guarantors a secure exchange of Title IV data with the FSA Application Systems. The SAIG replaces what was formerly known as the Title IV WAN. Organizations enroll individuals as destination point administrators (DPAs), who are assigned destination points (electronic mailboxes) to receive and transmit data for various Title IV student aid program systems, such as NSLDS, Direct Loan and CPS.

Enrollment in the SAIG available at: **sfawebenroll.ed.gov**

Key Terms

Alert Notification Message

NSLDS generated email message informing the school that there is new Alert information that may impact a student's eligibility to be reviewed on NSLDS. The school then accesses the student's updated financial aid history information on the NSLDS database.

Financial Aid Transcript (FAT)

Document that assists the school in determining whether an applicant for Title IV aid has previously attended other schools, a step toward determining an applicant's eligibility. In prior years, this was a paper document exchange between schools. This function is now available through NSLDS.

Mid-Year Transfer

Student who transfers from one school to another during the same award year (July 1 to June 30).

NSLDS Transfer Monitoring Process

Process using the NSLDS database to acquire information about mid-year transfer students. Consists of four interrelated steps: Inform, Monitor, Alert, and Review.

School Transfer Profile

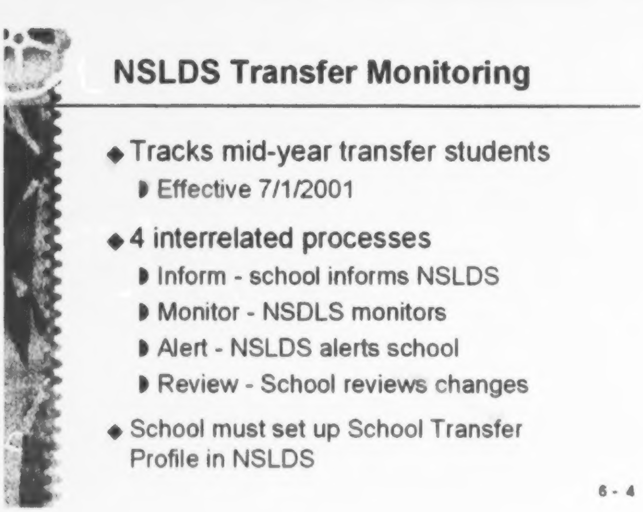
School-provided information on NSLDS that designates the school's contact, specifies an email address where Alert Notification Messages will be sent, and displays the options for Inform and Alert features.

Verification

Process of confirming the accuracy of statements made by an applicant on the Free Application for Federal Student Aid (FAFSA).

Verification Tolerance

Acceptable limit for minor monetary errors that are detected through the process of verifying a student's FAFSA data and that do not significantly affect the student's eligibility. The tolerance limit is $400 and applies to the net difference between: (a) the sum of applicant-reported (incorrect) AGI, plus untaxed income, less U.S. income tax paid and (b) the sum of the verified (correct) AGI, plus untaxed income, less the verified U.S. income tax paid. If the difference between the incorrect total and the verified total is $400 or less (and there are only dollar amount errors), the errors are within tolerance and recalculation of the EFC is not required.



NSLDS Transfer Monitoring

- Tracks mid-year transfer students
  - Effective 7/1/2001
- 4 interrelated processes
  - Inform - school informs NSLDS
  - Monitor - NSDLS monitors
  - Alert - NSLDS alerts school
  - Review - School reviews changes
- School must set up School Transfer Profile in NSLDS

6 - 4

NSLDS Transfer Monitoring

Effective July 1, 2001, new rules went into effect that officially eliminated the requirement that schools must respond to requests by other schools for paper financial aid transcripts (FATs). Instead, schools may rely on information provided by the National Student Loan Data System (NSLDS) in determining financial aid eligibility for their students.

For mid-year transfer students, however, schools must follow the newly implemented NSLDS Transfer Monitoring Process, as outlined in GEN-01-09.

This process, the result of much input and feedback from the financial aid community, consists of four interrelated processes:

1. ____________________

2. ____________________

3. ____________________

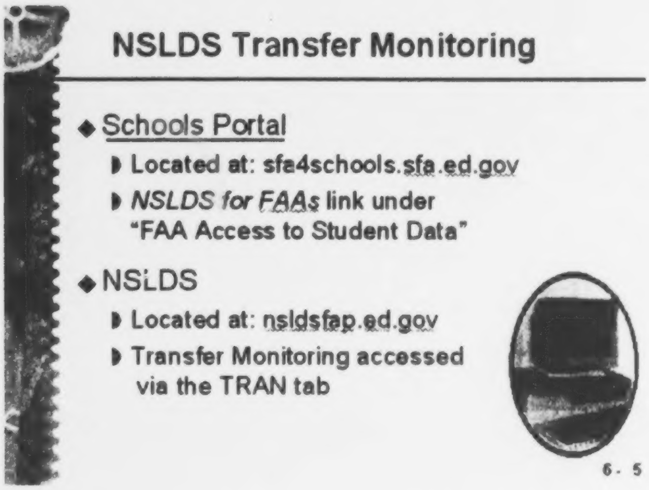
4. ____________________

Note:

Refer to GEN-01-09 for more information on the NSLDS Transfer Monitoring Process.

Challenge:

Where does the financial aid history information NSLDS provides to schools come from?



NSLDS Transfer Monitoring

- ◆ Schools Portal
  - Located at: sfa4schools.sfa.ed.gov
  - *NSLDS for FAAs* link under "FAA Access to Student Data"
- ◆ NSLDS
  - Located at: nsldsfap.ed.gov
  - Transfer Monitoring accessed via the TRAN tab

6- 5

NSLDS Transfer Monitoring

Anyone at your school may have access to the NSLDS site. However, all users must enroll via the Student Aid Internet Gateway (SAIG) at sfawebenroll.ed.gov to obtain a user ID and password.

Remember that, in addition to monitoring the financial aid activity of mid-year transfer students, NSLDS performs a number of other important support functions:

- Prescreening for Title IV Aid Eligibility
- Postscreening for Title IV Aid Eligibility
- Aid Overpayment
- Cohort Default Rate Calculations
- Enrollment Reporting
- Preparation of Financial Aid Transcript (FAT) Information
- Audit and Program Review Planning
- Research Studies and Policy Development
- Budget Analysis and Development
- Loan Transfer Tracking
- Monitoring GA and Lender Billings for Reasonability
- Assessment of FFELP, FDLP, and Other Program Administration
- Borrower Tracking
- Refund/Cancellation Support

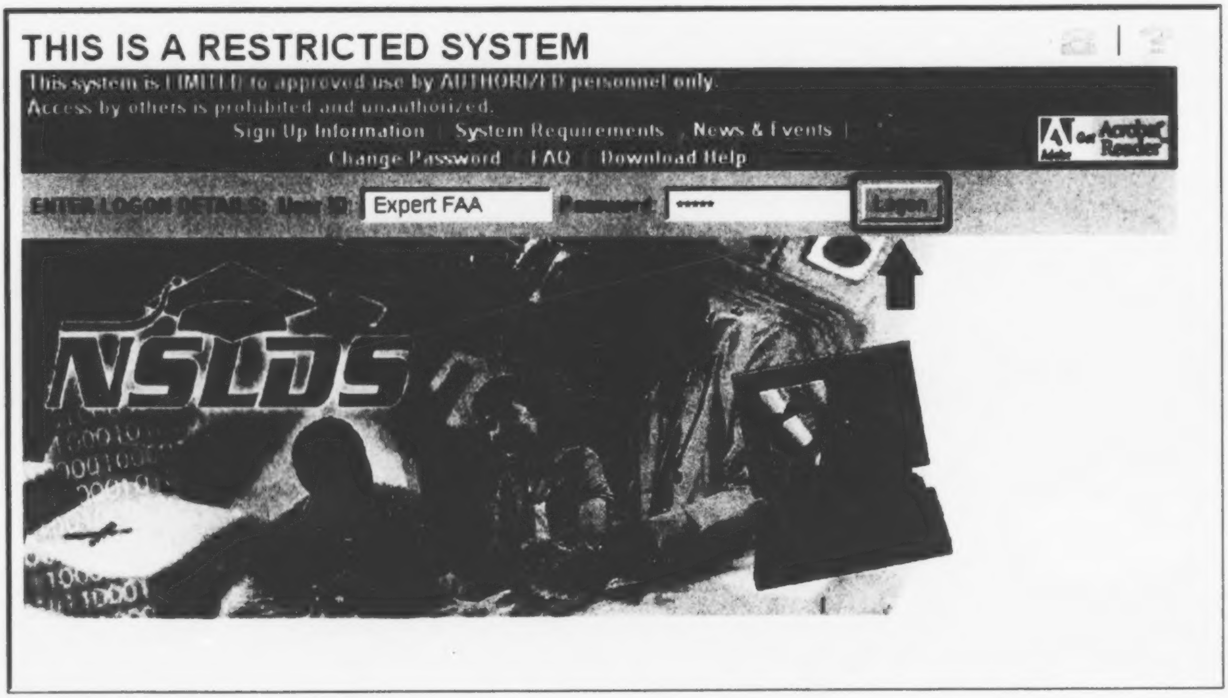
After getting access to the NSLDS site, the first step to getting your school ready for transfer monitoring is to set up the School Transfer Profile, which

- Designates the school's contact and specifies an email address where Alert notification messages will be sent
- Indicates the school's options for both the "Inform" and "Alert" features

Note:

NSLDS Transfer Monitoring can be accessed at nsldsfap.ed.gov

NSLDS

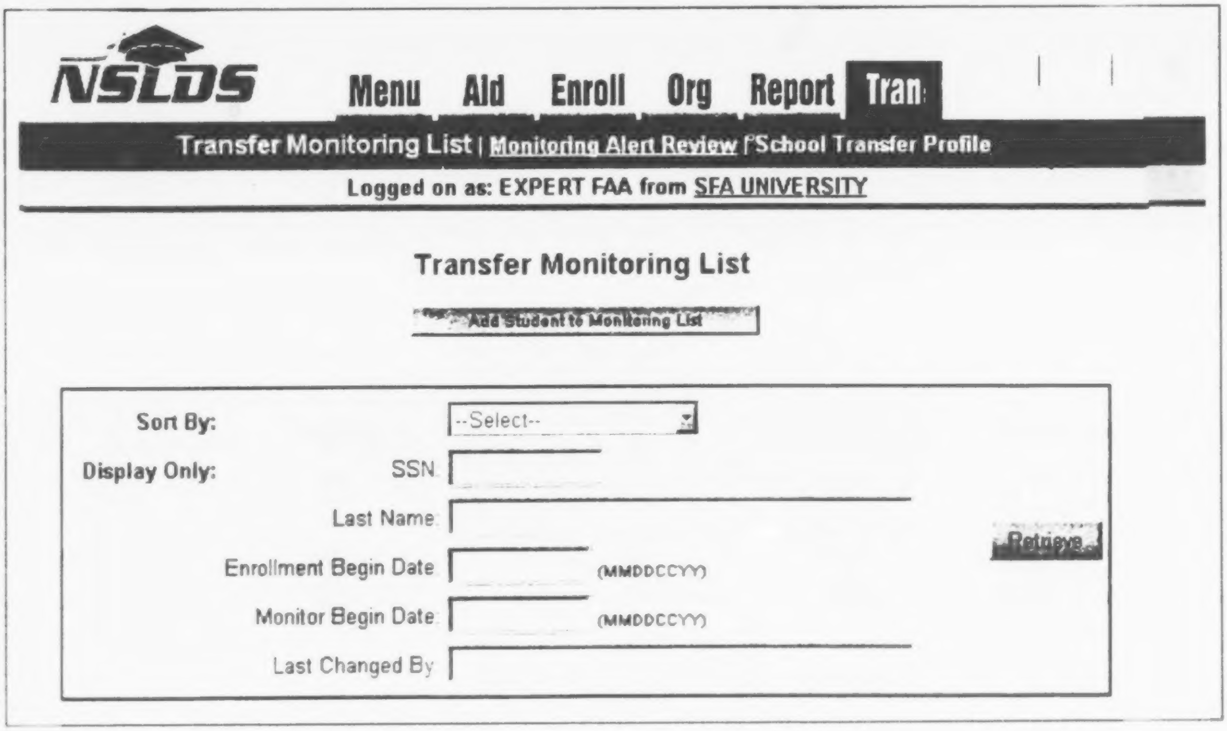


THIS IS A RESTRICTED SYSTEM

This system is LIMITED to approved use by AUTHORIZED personnel only.
Access by others is prohibited and unauthorized.

ENTER LOGON DETAILS: User ID: Expert FAA Password: *****

Sign Up Information | System Requirements | News & Events |
Change Password | FAQ | Download Help
Get Acrobat Reader
Logon
NSLDS



Logged on as: EXPERT FAA from SFA UNIVERSITY

Transfer Monitoring List

Sort By: --Select--

NSLDS
Menu
Aid
Enroll
Org
Report
Tran
Transfer Monitoring List | Monitoring Alert Review | School Transfer Profile
Add Student to Monitoring List
Display Only:
SSN
Last Name
Enrollment Begin Date (MMDDCCYY)
Monitor Begin Date (MMDDCCYY)
Last Changed By
Retrieve

74

Inform

The school *informs* NSLDS of mid-year transfers by adding students to the Monitoring List. The information required to add a student to the Monitoring List includes:

- First and last name
- Social Security number (SSN)
- Date of birth
- Enrollment Begin Date (date which student is expected to or did begin classes)
- Monitor Begin Date (date which NSLDS is to begin monitoring the student)

Once added to the Monitoring List, a student should be removed from the list *only* if added in error or if the student ends up not transferring to the school.

Monitor

NSLDS *monitors* the students on a school's Monitoring List for relevant changes in the students' financial aid history since the last ISIR or alert received by the school.

Monitoring continues for a period of 90 days from the student's Enrollment Begin Date, after which point the student's name drops off of the Monitoring List.

Alert

If relevant changes to the student's financial aid history might impact the student's eligibility for Title IV aid, NSLDS sends the school an *alert* email message and provides the information according to the Alert method the school designated in its School Transfer Profile.

Review

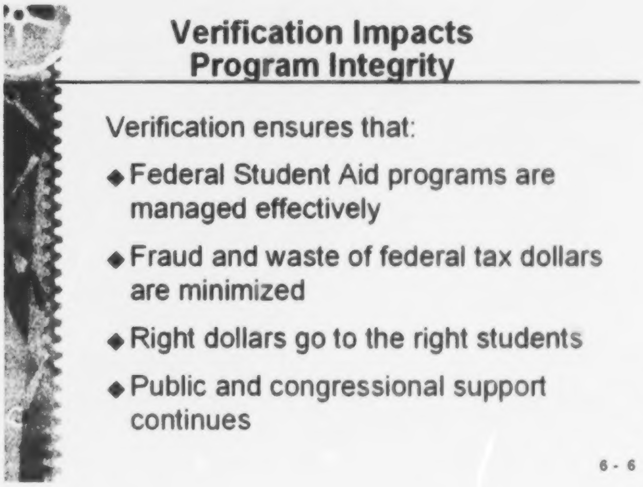
The final step is for the school to *review* any new information provided via the alert message to determine whether that information impacts the student's Title IV aid eligibility.

After waiting for a period of seven (7) days from the date the school informed NSLDS of the student, the school can make Title IV aid disbursements to the student. Should an alert come after a disbursement is made, the school must determine

- Whether the updated information affects the student's eligibility for that disbursement or any subsequent disbursements
- Whether corrective action needs to be taken

Note:

Pages 9 -13 of Appendix B include learning aids that outline the steps for enrolling in NSLDS, adding a student to the Monitoring List, setting up the School Transfer Profile and adding Organizational Contacts.



Verification Impacts Program Integrity

Verification ensures that:

- Federal Student Aid programs are managed effectively
- Fraud and waste of federal tax dollars are minimized
- Right dollars go to the right students
- Public and congressional support continues

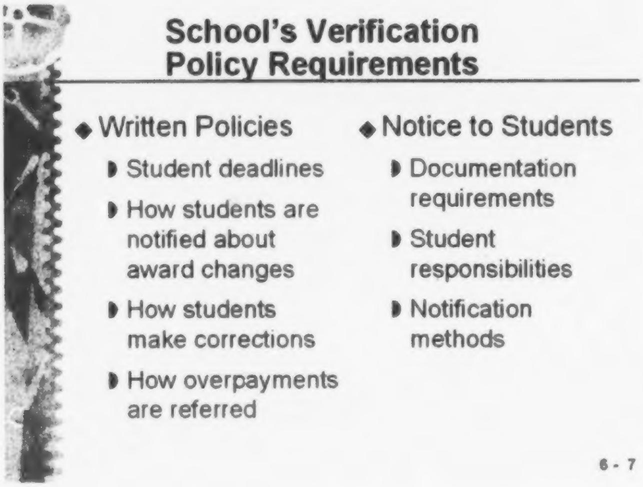
6 - 6

Verification Impacts Program Integrity

As you know, students commonly make significant errors when reporting their application information. These errors often result in federal financial aid being overawarded to some students and underawarded to others. Verification helps ensure that federal student financial aid, particularly the Pell Grant, is awarded to the right students in accurate amounts.

Note:

The recent changes made to the verification selection criteria by ED do not change the procedures schools must follow when verifying applicant data.



School's Verification Policy Requirements

- Written Policies
  - Student deadlines
  - How students are notified about award changes
  - How students make corrections
  - How overpayments are referred
- Notice to Students
  - Documentation requirements
  - Student responsibilities
  - Notification methods

6 - 7

School's Verification Policy Requirements

Although schools must meet certain requirements when verifying applicant data, they do have flexibility in developing institutional verification policies and procedures. At a minimum, institutional verification policies must address and specify:

- Deadlines for students to submit documentation and consequences of the failure to do so
- Method of notifying students of award changes resulting from verification
- Required correction procedures for students
- Standard procedures for referring overpayment cases to the Department

In addition, your verification procedures must include providing students with specific information in writing:

- Documentation needed to satisfy verification requirements
- Explanation of the student's responsibilities, including deadlines, consequences and correction procedures
- Method and time frame your school uses to notify a student if the award changes as a result of verification

Challenge:

How is your school's verification policy tied to program integrity?

School's Verification
Policy Requirements

Scenario 1

School's Verification Policy Requirements

Read the scenario below. Then, as a group, we'll complete the exercise.

Scenario 1

FSA University wants to be sure that its corresponding written policies and procedures concerning verification meet the requirements set forth by ED. To help in this task, you and a co-worker have started a checklist. Double-check the checklist and put a checkmark next to each item that should be included in your school's verification policies and procedures.

_____ 1. Deadlines for students to submit verification documentation and the consequences if the deadlines are not met

_____ 2. Definition of a student athlete

_____ 3. Method of notifying students of award changes due to verification

_____ 4. Documentation required for verification

_____ 5. Required procedures for requesting a housing deposit refund

_____ 6. Standard procedures for referring overpayments to the Department

_____ 7. Student responsibilities, including deadlines, consequences for missing deadlines, and correction procedures

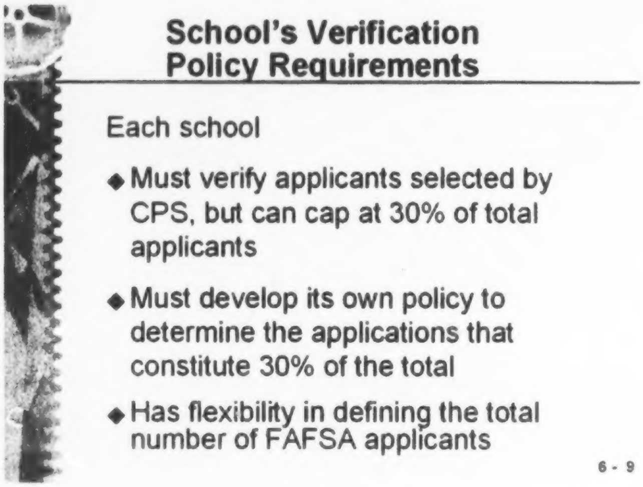
_____ 8. Deposits required of incoming freshmen

_____ 9. Required correction procedures for students

_____ 10. Definition of non-satisfactory academic progress

_____ 11. Notification methods for award changes and timeframe for such notification

_____ 12. Telephone number and address of the local fire department



School's Verification Policy Requirements

Each school

- ◆ Must verify applicants selected by CPS, but can cap at 30% of total applicants
- ◆ Must develop its own policy to determine the applications that constitute 30% of the total
- ◆ Has flexibility in defining the total number of FAFSA applicants

6 - 9

School's Verification Policy Requirements

Generally, schools must verify all federal student aid applications selected for verification by the CPS. However, there is a limit to the number of applications schools are required to verify. Schools are not required to verify more than 30% of their total applicants (though they are required to develop a policy for determining the applicants that make up the 30%).

At the same time, schools are not required to verify more applications than the CPS selected, even if the number selected is less than 30% of the schools' total applicants. In those cases, schools must verify all selected applicants.

Although schools do have the option of capping the number they verify at 30%, ED encourages schools to do more. Verifying all the applicants selected by CPS helps to ensure student award integrity by making certain that the amount of federal aid awarded to students is accurate.

Notes:

1. *The approximately 140 schools that participate in the Quality Assurance Program are exempt from certain requirements and may design their own verification procedures. Their emphasis is not on doing more or less than other schools, but rather on developing a more effective and efficient verification process.*
2. *Remember, compliance is a requirement; however, quality is a choice.*

Challenge:

Do you know your school's policy regarding the percentage of federal student aid applicants that will be verified each award year? If so, what is it?

School's Verification Policy Requirements
Scenario 2

Verification Requirements

Read the directions below. Then, as a group, we'll complete the exercise.

Scenario 2

Review the following definitions for "applicant" and "total applicants." Place a check mark in front of each one that is acceptable.

_____ 1. Applicant - Student who applies for federal student aid

_____ 2. Applicant - Student who is eligible to receive an award from the programs

_____ 3. Applicant - Early FAFSA filer

_____ 4. Applicant - Student who applies for federal student aid and enrolls

_____ 5. Total Applicants - Total number of applications received by the school's priority deadline

_____ 6. Total Applicants - Total number of applications received from enrolled students

_____ 7. Total Applicants - Total number of applications received from students who are eligible to receive an award

_____ 8. Total Applicants - Total number of applications received

Note:

To help ensure that the federal student aid is going to the neediest of students, financial aid administrators are encouraged to consider verifying 100% of their applications selected for verification.

School's Verification Policy Requirements

Scenario 3

Verification Requirements

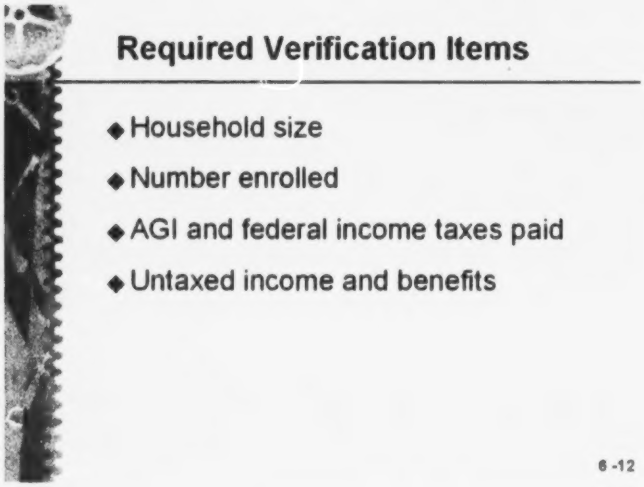
Read the directions below. Then, as a group, we'll complete the exercise.

Scenario 3

Based on ED's 30% verification limit option, calculate both the minimum number of applicants each school must verify to satisfy ED's requirement, as well as the total number of applicants each school must verify to meet their own institutional verification policies. Notice that, based on their individual institutional policies, some schools must verify more applications than were selected by the CPS.

Institutional Verification Policies

School	School's definition of total applicants	30% of total applicants	Selected by CPS	Minimum # to verify to meet ED requirement	Total # to verify
A	5,000	1,500	2,250 (45%)		
School A's policy is to verify 100% of the applicants selected by CPS					
B	7,500	2,250	2,250 (30%)		
School B's policy is to verify 50% of all applicants					
C	2,600	780	520 (20%)		
School C's policy is to verify 100% of all applicants					
D	11,500	3,450	1,725 (15%)		
School D's policy is to verify the minimum number required by ED					
E	1,000	300	300 (30%)		
School E's policy is to verify 100% of all applicants					



Required Verification Items

- Household size
- Number enrolled
- AGI and federal income taxes paid
- Untaxed income and benefits

6 -12

Required Verification Items

The chart on the following two pages lists the five major data elements on the federal student aid application that must be verified when an applicant is selected by the CPS for verification:

1. Household size
2. Number enrolled in college
3. Adjusted gross income (AGI)
4. U.S. income tax paid
5. Certain untaxed income and benefits

It also lists the documentation that is acceptable for verifying each particular data element.

Note:

Don't forget: A school always has the option of selecting more applicants for verification that the CPS selected. For those additional applications the school selects, the school decides which data elements to verify.

Required Verification Items and Acceptable Documentation

Required Verification Items	Acceptable Documentation
Household size	• Verification worksheet or other signed statement listing the names and age of each family member and the relationship to the applicant
Number enrolled in college	• Verification worksheet • Other signed statement listing the name, age and institution of each family member who is or will be attending a postsecondary institution on at least a half-time basis during the award year, or • Institutional certification
Adjusted Gross Income (AGI) and U.S. income tax paid	• Non-tax filers: Signed verification worksheet or other signed statement certifying that the applicant and/or parent/spouse has not nor is required to file, along with the sources and amounts of income – If a copy of the tax return is not available, school may require the individual to submit a copy of an IRS form that lists tax account information, such as IRS Form 4506 • Tax filers: U.S. income tax return signed by the tax payer (or signed by one tax payer if a joint return) – Forms 1040, 1040A or 1040 EZ – Can accept copy of the original signed return via photocopy, fax, digital image • If copy of original didn't include signature, filer must provide an original signature on the copy – Can accept form that has been completed to duplicate original and that has been signed by the filer – Can accept paper return with tax preparer's name and SSN or EIN number stamped, typed or printed on the return – For forms filed electronically, can accept printed copies of the forms that are signed by the filer • Cannot use Form 8453 because it doesn't include enough information – For returns filed by telephone (TeleFile), TeleFile Tax Record is acceptable, but must contain the filer's 10-digit IRS confirmation number in Line N and must be signed by the filer

Required Verification Items	Acceptable Documentation
	– Have the option of requesting additional documentation, such as IRS Form W2 • Joint tax filers where the parents of the dependent applicant are divorced or separated or one of the parents is deceased or where the independent applicant is separated or divorced or the spouse is deceased may submit IRS Form W-2
Untaxed income and benefits: Child support	• Verification worksheet or • Other appropriately signed statement certifying the amount of child support received – If school has reason to believe information provided is inaccurate, applicant must verify the amount reported by providing • Copy of separation or divorce degree showing the amount • Statement from the parent who provides the child support indicating the amount provided • Copies of the child support checks or money orders
Untaxed income and benefits: Social Security benefits	Needed when there is a reason to believe benefits were not reported or were reported incorrectly • Verification worksheet • Documentation from Social Security Administration showing the amounts of benefits received for the appropriate individuals listed, or • Other appropriately signed statement certifying the amount listed on the FAFSA is correct
Untaxed income and benefits: IRA or Keogh deductions	• Signed U.S. income tax return
Untaxed income and benefits: Interest on tax free bonds	• Signed U.S. income tax return
Untaxed income and benefits: Foreign income exclusion	• Signed IRS Forms 2555 or 2555EZ
Untaxed income and benefits: Earned income credit	• Signed U.S. income tax return

Required Verification Items and Acceptable Documentation

Scenarios 4-6

Required Verification Items & Acceptable Documentation

Learning Activity

Instructions:

1. Get together with your small group and select a spokesperson.
2. Read each of the scenarios (4 - 6) that follow, along with the corresponding questions.
3. Discuss the scenarios and work together as a group to answer the questions.

Scenario 4

Mary O'Connell, an incoming 18-year-old freshman, is very adept at using her PC to conduct her personal business. As soon as she got your request for verification documentation, she started gathering the information; she didn't wait for her parents to return from their vacation. She downloaded a copy of the 2002-2003 Independent Verification Worksheet from your web site, signed it, scanned it, and forwarded it to the financial aid office via an email attachment. She also attached scanned copies of her signed 2001 state income tax return along with her parents' signed 2000 federal income tax return. Wanting to be thorough, she went through her dad's file cabinet to see what other documentation she could scrounge up. She found a copy of her 2001 W-2, as well as her mom's, so she scanned and emailed those documents, too.

1. Are scanned copies of verification worksheets and federal income tax returns acceptable documentation?
2. Based on the documents Mary emailed, what, if anything do you still need to complete verification?
3. Although your institutional verification policy does not require the submission of W-2's, must you ask for her dad's, now that you have hers and her mom's?

Scenario 5

Based on her age, Patty Bouvier is an independent applicant whose application was selected for verification. As you requested, she submitted a signed verification worksheet indicating she is unmarried and a signed copy of her 2001 federal income tax return.

When she filed her application on February 8, 2002, she indicated she was unmarried with a household size of one and reported income and AGI only for herself. However, the signed 2001 federal income tax return she submitted was filed jointly with Simon LeGre, her husband. After talking with Patty, you find out that she and Simon lived together until February 28, when they became legally separated. She confided that she decided to report "unmarried" on the FAFSA, since she knew she was going to leave Simon as soon as she bought new tires for her car.

1. Did Patty submit all of the documentation she is required to?

2. Should marital status, household size, income or AGI be corrected? Why or why not?

Scenario 6

Patty has a much younger brother, Brandon Bouvier, who also attends your school and whose application also was selected for verification. Since Brandon needed to submit his verification documentation anyway, he came along with Patty for the ride.

Based on the conversation you just had with Patty, you decide to take a couple of minutes to chat with Brandon as well. His 2002-2003 Dependent Verification Worksheet, which his dad signed, indicates that his parents will not file a tax return for 2001 (in fact, they haven't filed a tax return since 1998). The ISIR indicates that his parents have combined earnings of $55,000; cash, savings, and checking of $10,000; and assets of $2,500. The information the family reported on the Verification Worksheet matches the information on the ISIR.

1. Since Brandon's verification worksheet matches up against his ISIR data, do you need to take any action?

2. If so, what and why?

Reviewing and Revising Your School's Verification Policy

Verification Impacts Program Integrity

Think about the big circle that you drew this morning. Then think about our discussion of verification. We recognized that, while all schools must operate within the one big verification circle (ED requirement), schools also have considerable flexibility in determining what their circle contents (institutional verification policies and procedures) look like.

What are some issues to consider in reviewing and revising your school's verification policy?

1.

2.

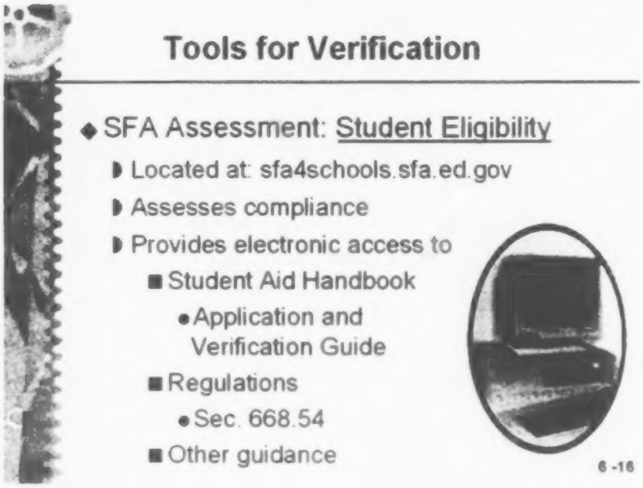
3.

4.

5.

Challenge:

When was the last time your school's verification policy was reviewed and revised?



Tools for Verification

- SFA Assessment: Student Eligibility
  - Located at: sfa4schools.sfa.ed.gov
  - Assesses compliance
  - Provides electronic access to
    - Student Aid Handbook
      - Application and Verification Guide
    - Regulations
      - Sec. 668.54
    - Other guidance

6 -16

Tools for Verification: Student Eligibility Assessment

Remember the SFA Assessment modules we talked about earlier? The Student Eligibility module under the Students category is an excellent resource for assessing your school's compliance with the verification requirements.

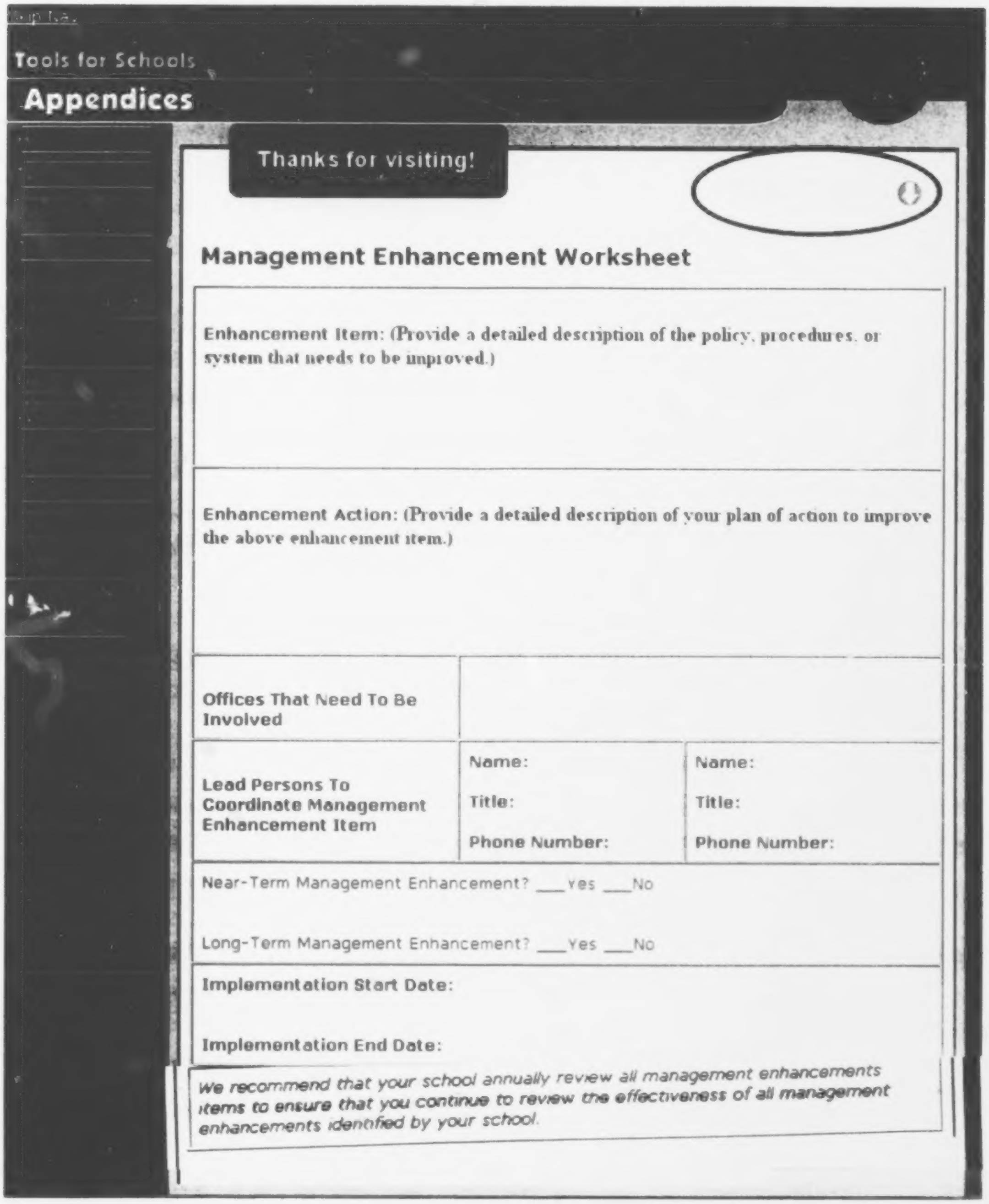
In addition to assessment questions, the Student Eligibility module contains direct links to other related sites and documents, such as the Verification Guide in the Student Aid Handbook. Refer to the Verification Guide for information on:

- School's required policies
- Verification exclusions
- Required verification items
- Acceptable documentation
- Tolerance
- Interim disbursements
- Regulatory citations
- Dependent and Independent Verification Worksheets

Note:

The Student Eligibility Assessment module can be accessed via the Schools Portal at sfa4school.sfa.ed.gov

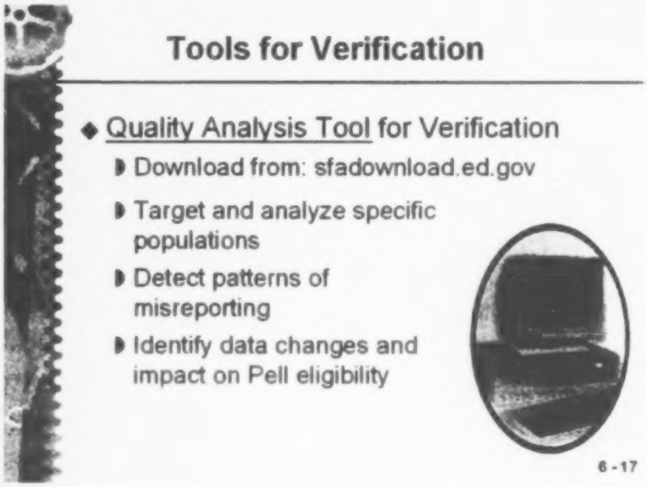
SFA Assessments:
Management Enhancement Worksheet



Management Enhancement Worksheet

Enhancement Item: (Provide a detailed description of the policy, procedures, or system that needs to be improved.)		
Enhancement Action: (Provide a detailed description of your plan of action to improve the above enhancement item.)		
Offices That Need To Be Involved		
Lead Persons To Coordinate Management Enhancement Item	**Name:** **Title:** **Phone Number:**	**Name:** **Title:** **Phone Number:**
Near-Term Management Enhancement? ___Yes ___No Long-Term Management Enhancement? ___Yes ___No		
Implementation Start Date: **Implementation End Date:**		

We recommend that your school annually review all management enhancements items to ensure that you continue to review the effectiveness of all management enhancements identified by your school.



Tools for Verification

- Quality Analysis Tool for Verification
  - Download from: sfadownload.ed.gov
  - Target and analyze specific populations
  - Detect patterns of misreporting
  - Identify data changes and impact on Pell eligibility

6-17

Tools for Verification: Quality Analysis Tool

The Quality Analysis Tool for Verification can help you gather useful information upon which to base your school's verification policy. This tool:

- Allows you to do in-depth analysis of application populations by comparing initial ISIR data to paid on ISIR data.
- Helps find errors that cause EFC changes so schools can educate students and parents on how to avoid these errors.
- Helps better target your school's verification selection profile to improve verification.
- Allows you to flag records selected for institutional verification.

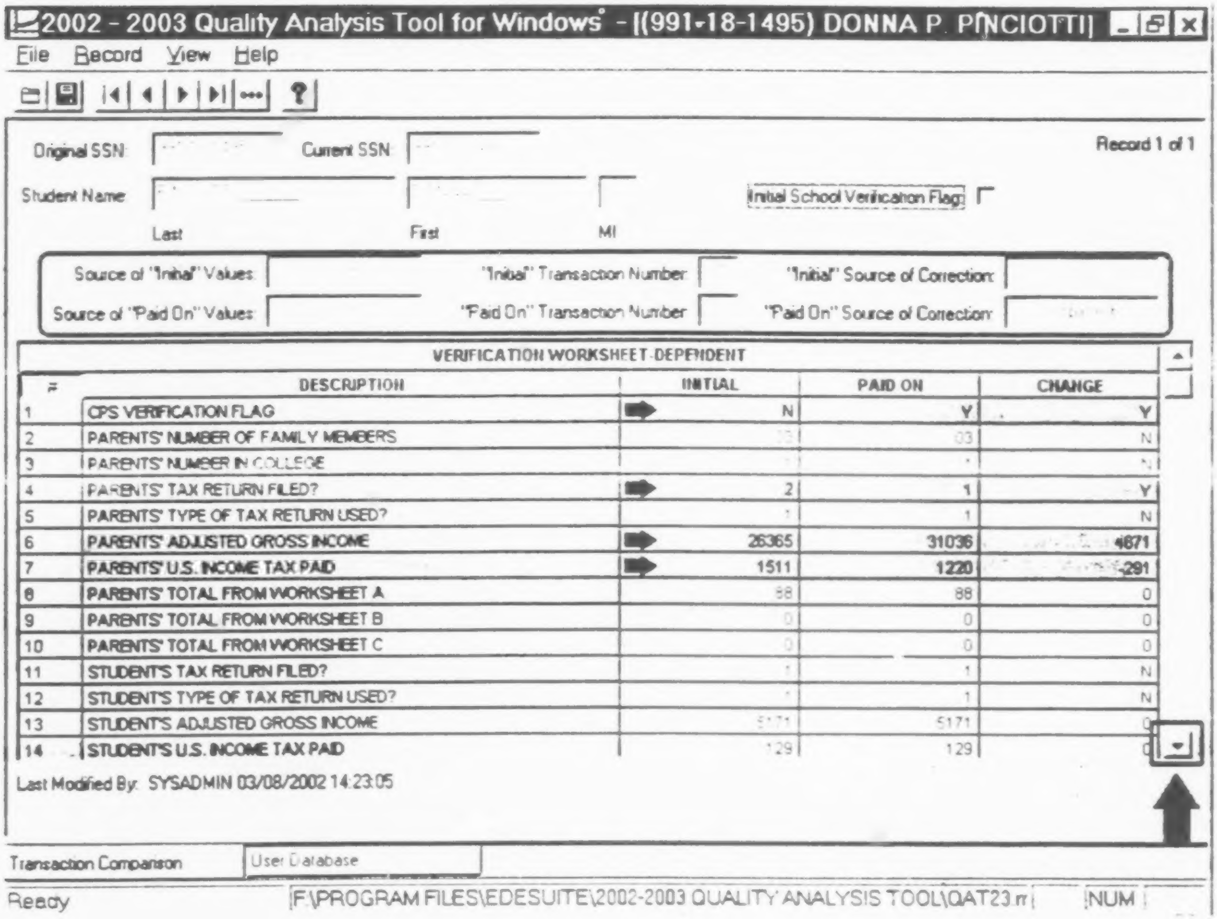
The tool provides ten (10) analysis reports that are very helpful in analyzing student applicant data. Three (3) of the most important useful include:

- **Field Change Report with Corrected Field Counts** – Lists fields that affect the EFC and displays the number/percentage of corrections made. Also shows the number/percentage of records for which the EFC increased, decreased, or remained unchanged as a result of a change to a selected field.
- **Transaction Comparison Report** – Shows the demographic data and transaction comparison data for a student or a group of students, including the transaction number of each student's initial transaction.
- **Field Range Report with Corrected Field Counts** – Shows the number/percentage of corrections made to the selected field for a specific increment. Also shows the number/percentage of time the EFC increased, decreased, or remain unchanged due to a change to the field.

Notes:

1. *The 2002-2003 Quality Analysis Tool for Verification and Desk Reference can be downloaded via sfadownload.ed.gov*
2. *Page 14 Appendix B has a learning aid with steps to download and set up the tool.*

Quality Analysis Tool for Verification


2002 - 2003 Quality Analysis Tool for Windows - [(991-18-1495) DONNA P. PINCIOTTI]
File
Record
View
Help

Original SSN: Current SSN: Record 1 of 1

Student Name: Last First MI

Initial School Verification Flag: ☐

Source of "Initial" Values: "Initial" Transaction Number: "Initial" Source of Correction:

Source of "Paid On" Values: "Paid On" Transaction Number: "Paid On" Source of Correction:

VERIFICATION WORKSHEET-DEPENDENT

#	DESCRIPTION	INITIAL	PAID ON	CHANGE
1	CPS VERIFICATION FLAG	➡ N	Y	Y
2	PARENTS' NUMBER OF FAMILY MEMBERS	03	03	N
3	PARENTS' NUMBER IN COLLEGE	1	1	N
4	PARENTS' TAX RETURN FILED?	➡ 2	1	Y
5	PARENTS' TYPE OF TAX RETURN USED?	1	1	N
6	PARENTS' ADJUSTED GROSS INCOME	➡ 26365	31036	4671
7	PARENTS' U.S. INCOME TAX PAID	➡ 1511	1220	-291
8	PARENTS' TOTAL FROM WORKSHEET A	88	88	0
9	PARENTS' TOTAL FROM WORKSHEET B	0	0	0
10	PARENTS' TOTAL FROM WORKSHEET C	0	0	0
11	STUDENT'S TAX RETURN FILED?	1	1	N
12	STUDENT'S TYPE OF TAX RETURN USED?	1	1	N
13	STUDENT'S ADJUSTED GROSS INCOME	5171	5171	0
14	STUDENT'S U.S. INCOME TAX PAID	129	129	0

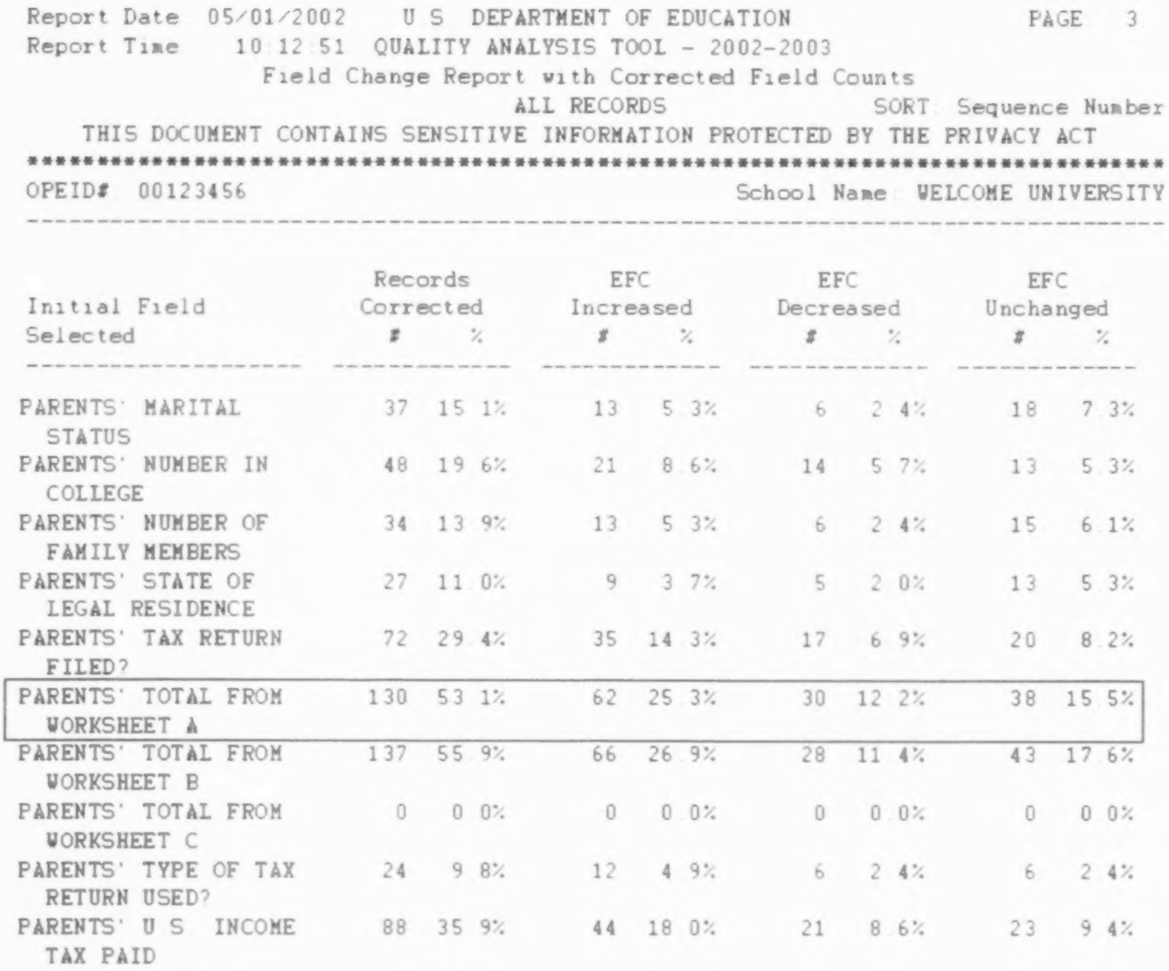
Last Modified By: SYSADMIN 03/08/2002 14:23:05

Transaction Comparison | User Database

Ready F:\PROGRAM FILES\EDESUITE\2002-2003 QUALITY ANALYSIS TOOL\QAT23.m NUM

BEST COPY AVAILABLE

91

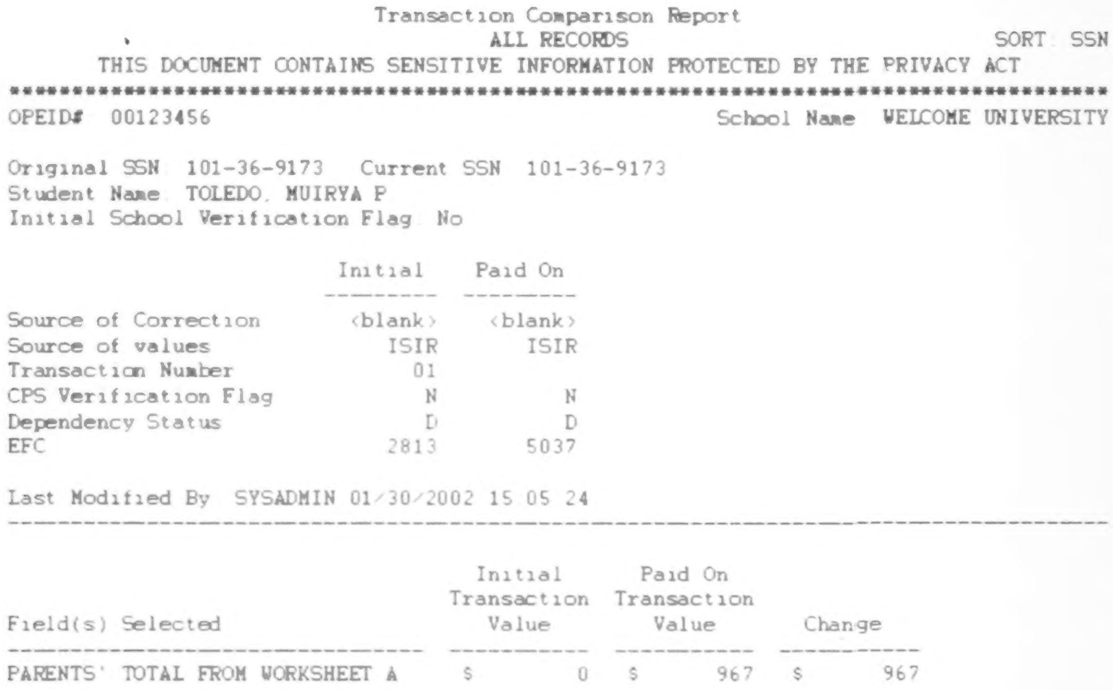


```
Report Date: 05/01/2002    U.S. DEPARTMENT OF EDUCATION                 PAGE   3
Report Time:    10:12:51  QUALITY ANALYSIS TOOL - 2002-2003
                      Field Change Report with Corrected Field Counts
                                    ALL RECORDS              SORT: Sequence Number
    THIS DOCUMENT CONTAINS SENSITIVE INFORMATION PROTECTED BY THE PRIVACY ACT
***********************************************************************************
OPEID#  00123456                                       School Name: WELCOME UNIVERSITY
-----------------------------------------------------------------------------------

                         Records            EFC               EFC               EFC
Initial Field           Corrected         Increased         Decreased        Unchanged
Selected                 #     %          #     %           #     %          #     %
--------------------  ------------    ------------    ------------    ------------

PARENTS' MARITAL         37  15.1%       13   5.3%        6   2.4%       18   7.3%
  STATUS
PARENTS' NUMBER IN       48  19.6%       21   8.6%       14   5.7%       13   5.3%
  COLLEGE
PARENTS' NUMBER OF       34  13.9%       13   5.3%        6   2.4%       15   6.1%
  FAMILY MEMBERS
PARENTS' STATE OF        27  11.0%        9   3.7%        5   2.0%       13   5.3%
  LEGAL RESIDENCE
PARENTS' TAX RETURN      72  29.4%       35  14.3%       17   6.9%       20   8.2%
  FILED?
PARENTS' TOTAL FROM     130  53.1%       62  25.3%       30  12.2%       38  15.5%
  WORKSHEET A
PARENTS' TOTAL FROM     137  55.9%       66  26.9%       28  11.4%       43  17.6%
  WORKSHEET B
PARENTS' TOTAL FROM       0   0.0%        0   0.0%        0   0.0%        0   0.0%
  WORKSHEET C
PARENTS' TYPE OF TAX     24   9.8%       12   4.9%        6   2.4%        6   2.4%
  RETURN USED?
PARENTS' U.S. INCOME     88  35.9%       44  18.0%       21   8.6%       23   9.4%
  TAX PAID
```

Field Change Report with Corrected Field Counts

This report lists fields that affect the EFC and displays the number and percentage of corrections made. It also shows the number and percentage of records for which the EFC increased, decreased, or remained unchanged as a result of a change to a selected field.

The example above reflects 245 test cases. Of the 245, 130 students (more than half of the test cases) submitted corrections to Parents Total from Worksheet A. Of these 130, the EFC changed in 92 cases (it decreased for 30, while it increased for 62).

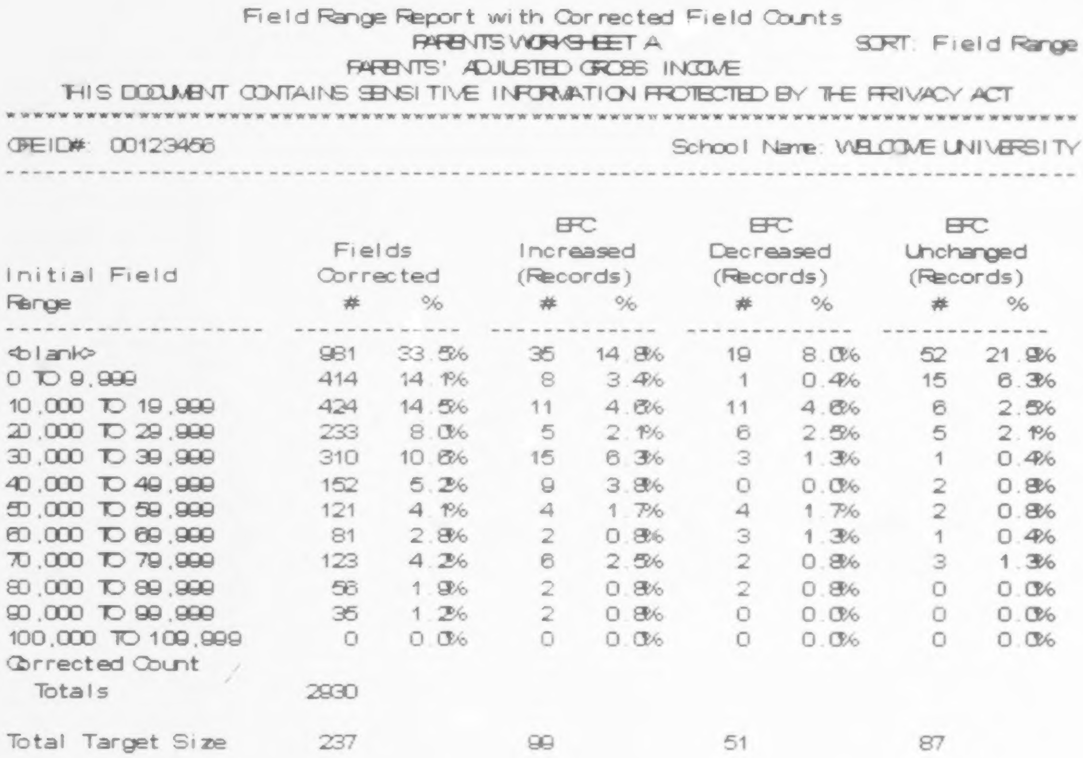


```
                         Transaction Comparison Report
                                  ALL RECORDS                           SORT  SSN
    THIS DOCUMENT CONTAINS SENSITIVE INFORMATION PROTECTED BY THE PRIVACY ACT
*************************************************************************************
OPEID#  00123456                                          School Name  WELCOME UNIVERSITY

Original SSN  101-36-9173   Current SSN  101-36-9173
Student Name  TOLEDO, MUIRYA P
Initial School Verification Flag  No

                                 Initial    Paid On
                                ---------  ---------
Source of Correction             <blank>    <blank>
Source of values                    ISIR       ISIR
Transaction Number                    01
CPS Verification Flag                  N          N
Dependency Status                      D          D
EFC                                 2813       5037

Last Modified By  SYSADMIN 01/30/2002 15 05 24
-------------------------------------------------------------------------------------

                                           Initial      Paid On
                                         Transaction  Transaction
Field(s) Selected                           Value        Value         Change
--------------------------------------- -----------  -----------  -----------
PARENTS' TOTAL FROM WORKSHEET A          $        0   $      967   $      967
```

Transaction Comparison Report

The Transaction Comparison Report shows the demographic data and transaction comparison data for a student or a group of students, including the transaction number of each student's initial transaction.

Referring to the 245 test cases mentioned on page 6-24, this example provides important student demographic information and changes in Parents' Total from Worksheet A for the 130 students who reported corrections to this FAFSA data field.

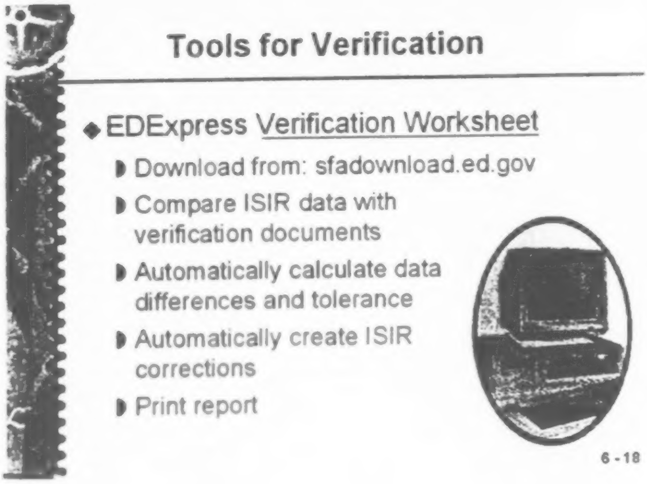


```
                 Field Range Report with Corrected Field Counts
                           PARENTS WORKSHEET A                   SORT: Field Range
                        PARENTS' ADJUSTED GROSS INCOME
       THIS DOCUMENT CONTAINS SENSITIVE INFORMATION PROTECTED BY THE PRIVACY ACT
*************************************************************************************
OPEID#: 00123456                                       School Name: WELCOME UNIVERSITY
-------------------------------------------------------------------------------------

                                          EFC            EFC             EFC
                          Fields       Increased      Decreased       Unchanged
Initial Field           Corrected      (Records)      (Records)       (Records)
Range                    #     %        #     %        #     %         #     %
--------------------   -------------  -------------  -------------  -------------
<blank>                 981   33.5%    35   14.8%    19    8.0%     52   21.9%
0 TO 9,999              414   14.1%     8    3.4%     1    0.4%     15    6.3%
10,000 TO 19,999        424   14.5%    11    4.6%    11    4.6%      6    2.5%
20,000 TO 29,999        233    8.0%     5    2.1%     6    2.5%      5    2.1%
30,000 TO 39,999        310   10.6%    15    6.3%     3    1.3%      1    0.4%
40,000 TO 49,999        152    5.2%     9    3.8%     0    0.0%      2    0.8%
50,000 TO 59,999        121    4.1%     4    1.7%     4    1.7%      2    0.8%
60,000 TO 69,999         81    2.8%     2    0.8%     3    1.3%      1    0.4%
70,000 TO 79,999        123    4.2%     6    2.5%     2    0.8%      3    1.3%
80,000 TO 89,999         56    1.9%     2    0.8%     2    0.8%      0    0.0%
90,000 TO 99,999         35    1.2%     2    0.8%     0    0.0%      0    0.0%
100,000 TO 109,999        0    0.0%     0    0.0%     0    0.0%      0    0.0%
Corrected Count
  Totals               2930

Total Target Size       237            99             51             87
```

Field Range Report with Corrected Field Counts

The Field Range Report with Corrected Field Counts shows the number and percentage of corrections made to the selected field for a specific increment. It also shows the number and percentage of times the EFC increased, decreased, or remain unchanged due to a change to the field.

This Report indicates, by income range, where corrections to Parents' Total from Worksheet A occurred.



Tools for Verification

- EDExpress Verification Worksheet
  - Download from: sfadownload.ed.gov
  - Compare ISIR data with verification documents
  - Automatically calculate data differences and tolerance
  - Automatically create ISIR corrections
  - Print report

6 -18

Tools for Verification: EDExpress Verification Worksheet

When verifying a student's data, the EDExpress Verification Worksheet helps document and accurately calculate any differences found between ISIR data you import into the system and the data the student provided on verification documents, such as federal tax returns or Verification Worksheets.

Other useful features of the tool include:

- Option to print the Verification Worksheet (report)
- For EDExpress users, option to create and send electronic ISIR corrections for data where differences were found and recorded on the worksheet
- Memo field for entering notes regarding the verification process

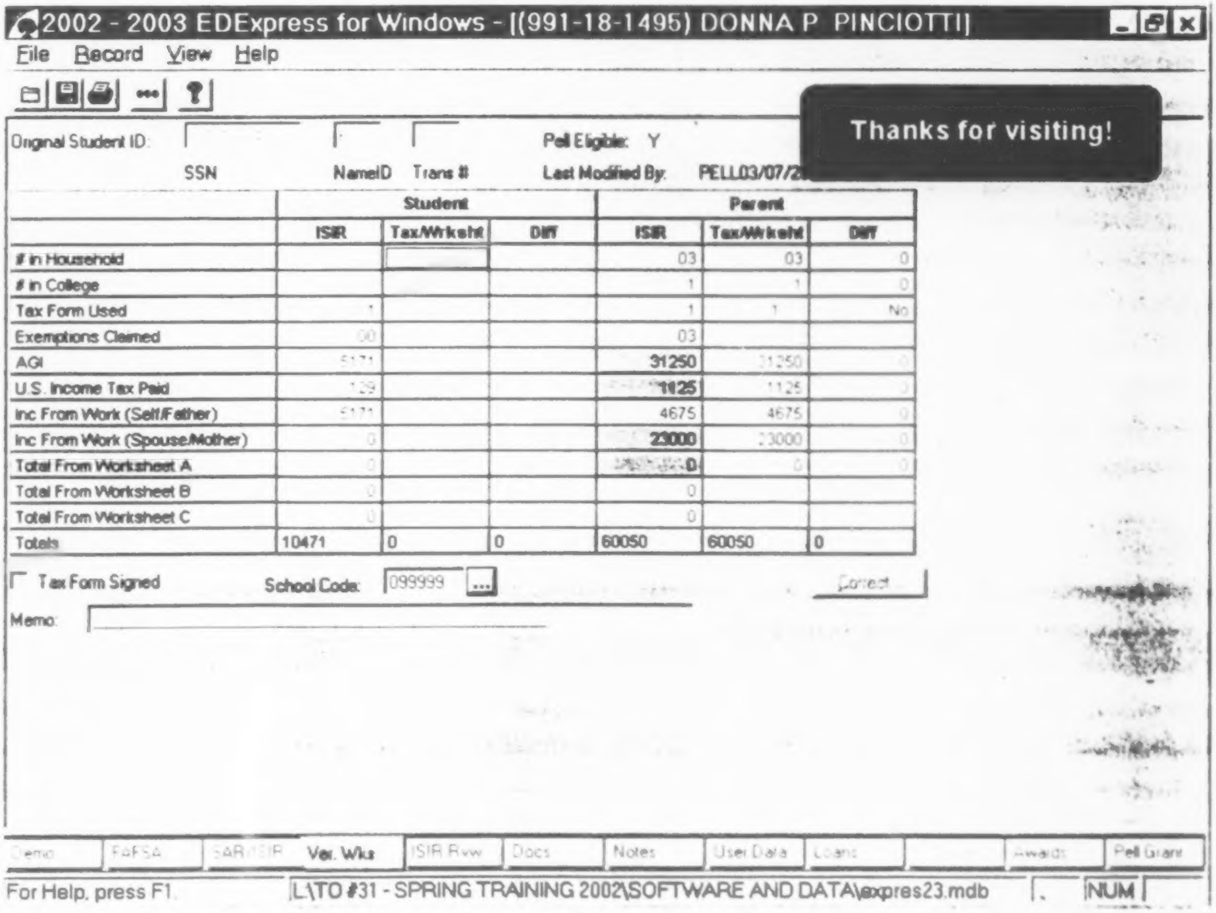
Notes:

1. *The 2002-2003 EDExpress software can be downloaded via sfadownload.ed.gov*
2. *Page 15 of Appendix B has a learning aid with steps to using the tool.*

Challenge:

Have you identified at least one new tool that you will try out when you get back to your school?

EDEXpress Verification Workseet


File
Record
View
Help
Thanks for visiting!
Correct
Demo
FAFSA
SAR/ISIR
Ver. Wks
ISIR Rvw
Docs
Notes
User Data
Loans
Awards
Pell Grant
NUM

2002 - 2003 EDExpress for Windows - [(991-18-1495) DONNA P PINCIOTTI]

Original Student ID: SSN NameID Trans #

Pell Eligible: Y

Last Modified By: PELL03/07/2

	Student			Parent		
	ISIR	Tax/Wrksht	Diff	ISIR	Tax/Wrksht	Diff
# in Household				03	03	0
# in College				1	1	0
Tax Form Used	1			1	1	No
Exemptions Claimed	00			03		
AGI	5171			31250	31250	0
U.S. Income Tax Paid	129			1125	1125	0
Inc From Work (Self/Father)	5171			4675	4675	0
Inc From Work (Spouse/Mother)	0			23000	23000	0
Total From Worksheet A	0			0	0	0
Total From Worksheet B	0			0		
Total From Worksheet C	0			0		
Totals	10471	0	0	60050	60050	0

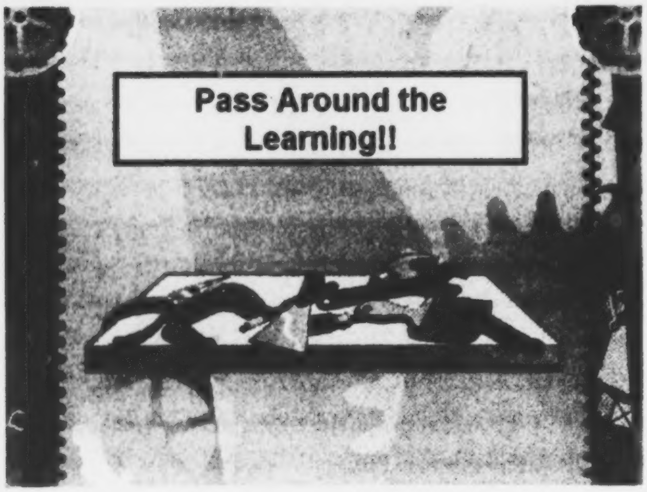
☐ Tax Form Signed

School Code: 099999

Memo:

For Help, press F1

L:\TO #31 - SPRING TRAINING 2002\SOFTWARE AND DATA\expres23.mdb


Pass Around the Learning!!

Pass Around the Learning

Ensuring and maintaining the integrity of the federal student financial aid programs you administer requires a group effort. You depend on the cooperation and help of other administrators from your school. Because they also need much of the same information you do, they can benefit from the tools and information resources provided by ED.

- What specific things did you learn that you can take back to share with others on your campus?

- Who should you share this information with?

- How will you go about sharing what you learned?

Note:

Check out the bonus on page 16 of Appendix B—a word search puzzle that you can use as a review of Day 1 topics. Enjoy!

Key Learning Points

The exercise below is designed to guide your learning throughout this session. Remove the page and try to answer all of the questions about these key learning points.

Complete the Following

1. Components of the NSLDS Transfer Monitoring process are listed below. In the blank next to each, indicate whether the school or NSLDS is responsible.
   a. ______________________ Set up School Transfer Profile
   b. ______________________ Add mid-year transfer student to Monitoring List
   c. ______________________ Monitor mid-year transfer student's financial aid activity
   d. ______________________ Send alert message to advise of relevant changes
   e. ______________________ Review NSLDS to determine if updates impact student eligibility.
2. Name the other systems that submit financial aid history information to NSLDS.

3. Name some important reasons for verifying student application data.

4. Identify which of the following apply to verification:
   a. ____ Schools are required to verify at least 30% of the total number of their FSA-eligible applicants.
   b. ____ Each school must develop its own policy for determining the number of applications that make up the 30% of the total.
   c. ____ A school may decide how many of the applications selected by the CPS it will verify.
   d. ____ Schools can choose to verify additional application items.
   e. ____ A school's institutional verification policies and procedures must be consistently applied.
5. Name the tool that assists schools in assessing their current verification policies and practices.

6. Name the tool that assists schools in conducting an in-depth analysis of application populations so that they may gather useful information upon which to base institutional verification policies

2002-2003 EDE Technical Reference

Electronic Data Exchange (EDE) Technical Reference - Includes reference material for programmers and data processing staff regarding use of both the EDExpress software and the EDconnect software (used for sending and receiving electronic files). Includes information about record layouts, required edits, print assistance, and reject messages that are applicable for electronic FAFSAs, Institutional Student Information Records (ISIRs), electronic corrections, and signature records.

Located at: **sfadownload.ed.gov**

2002-2003 ISIR Guide

Assists financial aid administrators (FAAs) in interpreting student information from an Institutional Student Information Record (ISIR). Also explains codes and flags that appear in the FAA Information section of the ISIR.

Located at: **ifap.ed.gov** (current publications by title)

2002-2003 SAR/ISIR Comment Codes and Text

Companion to the EDE Technical Reference. Also serves as a stand-alone guide in interpreting SAR/ISIR comment codes and text.

Available at: **sfadownload.ed.gov**

Alert Notification Message

NSLDS generated email message informing the school that there is new Alert information that may impact a student's eligibility to be reviewed on NSLDS. The school then accesses the student's updated financial aid history information on the NSLDS database.

Boolean Search

A logical search method that uses keywords joined by the operators AND, OR and NOT to retrieve information. For example, a Boolean search string for "Ability to Benefit" could be "Ability AND Benefit." This search would return all documents containing both words.

Central Processing System (CPS)

U.S. Department of Education's application data processing facility. The CPS uses student information from the Free Application for Federal Student Aid (FAFSA) to calculate the student's official Expected Family Contribution (EFC) and to perform matches against certain other databases (e.g. Social Security Administration); creates and transmits to schools the Institutional Student Information Record (ISIR), and sends or emails (if an email address is provided) the Student Aid Report (SAR) to the student.

Comment Code

Numeric code that indicates a problem or question about FAFSA data.

Comment Code Text

Comment to the student about the processing results and what action the student must take, if any.

Corrections on the Web

Web-based method of making corrections to data submitted on the FAFSA.

Located at: **fafsa.ed.gov**

PIN is required to access student information.

Customize

To alter according to individual specifications; to filter the web site options so that your screen best fits your individual needs.

Data Assumptions

Assumption CPS makes when certain FAFSA information provided has determined to be contradictory. For example, if the student reports that he or she is married, and provides two incomes while reporting only one in the household, the CPS assumes two in the household. If the CPS assumption is incorrect, the student can make corrections. The FAA can override selected assumptions when making electronic applications and corrections.

Database Matches

Matches by CPS of FAFSA information with other databases, including: the Social Security Administration, Selective Service, Department of Veterans Affairs, Immigration and Naturalization Service and National Student Loan Data System.

Data Rejects

CPS rejects of application data due to the omission of required information or the submission of information in the wrong format. For example, an application not signed by the student will be rejected, as will an application having a numeric field for which the response provided was alphabetic characters (letters). When an application is rejected, no EFC is calculated.

Destination Point Administrator (DPA)

Individual who represents an organization involved in the administration of Title IV student financial aid programs (such as a postsecondary institution, FFEL lender or guaranty agency, third-party servicer, or software provider) and is enrolled on the Student Aid Internet Gateway and assigned a destination point.

EDExpress Verification Worksheet

Tool within the EDExpress software for comparing ISIR data with data a federal student financial aid applicant provides on verification documents, such as federal tax returns or Federal Verification Worksheets. Displays the differences between these two sources of information so that the FAA can tell if the differences are within the tolerance level. EDExpress users can also update both the student and parent ISIR information to submit ISIR corrections to the CPS.

Available for download at: **sfadownload.ed.gov**

eMPN

Web-based (electronic) Master Promissory Note that allows a student to complete and sign an MPN over the web as an alternative to using a paper MPN. Users must have a PIN to initiate the process.

Expected Family Contribution (EFC)

A calculation based on a formula established by Congress of how much the student and his or her family can be expected to provide toward the cost of the student's education. Data for the EFC calculation comes from the FAFSA submitted by the student.

FAA Access on the Web

Web-based access provided to financial aid administrators to view student information, make corrections, check batch status and request PINs for students.

Located at: **fafsa.ed.gov/FAA/faa.htm**

PIN required to access student information.

FAFSA on the Web

Web-based Free Application for Federal Student Aid that allows students to complete their FAFSA application faster and more easily than any other application method.

Located at: **fafsa.ed.gov**

FAFSA on the Web Demo

Demonstration site that offers all the functionality features of the live FAFSA on the Web site. With it, students can try out FAFSA on the Web functions and FAAs can demonstrate its features. Although data can be submitted, the database is cleared nightly because this site is not live.

Located at: **fafsademo.test.ed.gov**

User ID: **eddemo** Password: **fafsatest**

FSA Schools Portal

Web site providing multiple links that improve the efficiency of managing the information provided by FSA.

Located at: **sfa4schools.sfa.ed.gov**

Password and ID required to customize the portal.

Federal Student Aid (FSA)

Office within the U.S. Department of Education responsible for the overall management and administration of the Title IV programs and the various operating systems.

Federal Verification Worksheets

Forms designed to assist schools in confirming the accuracy of information reported on the Free Application for Federal Student Aid (FAFSA).

Available for download at: **ifap.ed.gov/vgworksheets/0203VWkSheets.html**

Financial Aid Transcript (FAT)

Document that assists the school in determining whether an applicant for Title IV aid has previously attended other schools, a step toward determining an applicant's eligibility. In prior years, this was a paper document exchange between schools. This function is now available through NSLDS.

IFAP (Information for Financial Aid Professionals)

Web site to provide FSA information updates electronically; online database providing access to a collection of current and archived FSA information/materials (e.g., publications, reference manuals, regulatory and policy guidance, Dear Partner and Action Letters, etc.).

Located at: **ifap.ed.gov**

User ID and password required to enroll in electronic updates.

INS Secondary Confirmation Flag

Indicator that, after the initial match with the Immigration and Naturalization Service database failed, the CPS sent information to INS a second time to confirm that the FAFSA applicant is an eligible non-citizen.

Management Enhancement Worksheet

Document designed to assist schools in clearly describing concerns and developing an action plan to make improvements to policy, procedures, or systems identified by using the SFA Assessment.

Located at: **qaprogram.air.org/AppendixE.html**

Master Promissory Note (MPN)

Legal document requiring that a student loan borrower repay the funds borrowed under the Direct Loan Program or under the Federal Family Educational Loan Program. Some students use the MPN to accept one loan. Other students, at schools approved by the U.S. Department of Education, may use the MPN to accept several loans. Use of the MPN form simplifies the loan process by eliminating the need for eligible students to complete a promissory note every year they borrow.

Match Flags

Alphabetic or numeric codes showing the results of matching the application record with the various databases containing information that can affect eligibility.

Mid-Year Transfer

Student who transfers from one school to another school during the same award year (July 1 to June 30).

National Student Loan Data System (NSLDS)

A system for storing comprehensive information about the federal financial aid history of students who receive assistance under Title IV of the Higher Education Act of 1965, as amended. Stores information about loans, grants, students, borrowers, lenders, guaranty agencies (GAs), schools, and loan servicers and provides an integrated view of Title IV loans and grants during all stages of their life cycles from aid approval through disbursement, repayment, delinquency and closure.

Located at: **nsldsfap.ed.gov**

Enrollment as a Student Aid Internet Gateway (SAIG) user is required to access this site.

Natural Language Search

A database search conducted using human language as opposed to computer language.

NSLDS Transfer Monitoring Process

Process using the NSLDS database to acquire information about mid-year transfer students. Consists of four interrelated steps: Inform, Monitor, Alert and Review.

Office of Postsecondary Education (OPE) ID

An eight digit identification number assigned by the Office of Postsecondary Education to an institution that has been approved to participate in federal student financial aid programs. Schools that don't administer Title IV funds but want their students to qualify for in-school deferments also are assigned an OPE ID number. Additional locations of a school are designated by the last two digits of the OPE ID (e.g., the OPE ID of a school's main campus would be 001639**00**, while the OPE ID of the school's additional location would be 001639**01**).

PIN

Personal Identification Number that serves as an identifier to allow students and parents to access their personal information in U.S. Department of Education systems. The PIN also can be used to electronically sign the FAFSA and make corrections electronically to data submitted on the FAFSA.

Located at: **pin.ed.gov**

Postsecondary Education Participants System (PEPS)

The Financial Student Aid (FSA) management information system for all organizations that have a role in administering federal student financial aid and other Higher Education Act programs. Maintains eligibility, certification, demographic, financial, review, audit and default rate data about schools, lenders and guarantors participating in the Title IV programs.

President's Management Agenda

A document outlining the President's strategy for improving the management and performance of the federal government, including the U.S. Department of Education. The document emphasizes the need to reduce fraud, waste, and ineffectiveness by improving the way all federal student aid programs are administered and managed.

Quality Analysis Tool for Verification

Software to help schools analyze FAFSA application information reported on the ISIR. The data is used to determine the impact that changes to student-reported information had on EFC and Pell eligibility.

Available for download at: **sfadownload.ed.gov**

Renewal FAFSA on the Web

Web-based Renewal Free Application for Federal Student Aid.

Located at: **fafsa.ed.gov**

PIN is required to access student information.

School Transfer Profile

School-provided information on NSLDS that designates the school's contact, specifies an email address where Alert Notification Messages will be sent, and displays the options for Inform and Alert features.

SFA Assessments

Four categories of web-based management assessment modules to help schools assess compliance with Title IV requirements and enhance their services. Each self-guided assessment contains links to applicable laws and regulations. The four categories include: Students, Schools, Managing Funds and Campus Needs.

Located at: **qaprogram.air.org/SFAAssessment.asp**

OPE ID and password required for interactive modules. However, schools that choose not to create a password can access and download all interactive modules while in tour mode.

Student Aid Internet Gateway (SAIG)

Web-based system for providing Title IV-eligible post secondary institutions, third-party servicers, state agencies, lenders and guarantors a secure exchange of Title IV data with the FSA Application Systems. The SAIG replaces what was formerly known as Title IV WAN. Organizations enroll individuals as destination point administrators (DPAs), who are assigned destination points (electronic mailboxes) to receive and transmit data for various Title IV student aid program systems, such as NSLDS, Direct Loan and CPS.

Enrollment in the SAIG available at: **sfawebenroll.ed.gov**

Verification

Process of confirming the accuracy of statements made by an applicant on the Free Application for Federal Student Aid (FAFSA).

Verification Tolerance

Acceptable limit for minor monetary errors that are detected through the process of verifying a student's financial FAFSA data and that do not significantly affect the student's eligibility. The tolerance limit is $400 and applies to the net difference between: (a) the sum of applicant-reported (incorrect) AGI, plus untaxed income, less U.S. income tax paid and (b) the sum of the verified (correct) AGI, plus untaxed income, less the verified U.S. income tax paid. If the difference between the incorrect total and the verified total is $400 or less (and there are only dollar amount errors), the errors are within tolerance and recalculation of the EFC is not required.

Session 3: Conducting a Search of the Schools Portal

Step	Action
1	Access FSA Schools Portal homepage: sfa4schools.sfa.ed.gov/
2	Under the heading FSA Search Tool, enter your query into the text box using • Natural Language, or • Boolean
3	Choose your target from the drop-down list
4	Click **Go**

Hints:

- The FSA Search program works best when you enter your query in standard English.
- If you use Boolean keywords (AND, OR, and NOT), they must be entered in uppercase.
- Use the "Suggest?" link to locate more related documents.
- Minimum Threshold is the percentage that specifies how closely the document must match to be chosen.
- "Weight" is the relevance of the result to the query.
- "Similarity" is the score representing how closely this document matches.

Session 3: Customizing a Portal

Step	Action
1	Access Schools Channel home page: sfa4schools.sfa.ed.gov/SFAPortal/home/index1.htm
2	If you are not already enrolled, next to My FSA, Click **Sign Up Now**!
3	Enter your personal information – First Name – Last Name – E-mail address – Password – Re-enter password
4	Click **Submit**
5	Record your FSA account information
6	Click **Home**
7	Enter your User Name and Password in appropriate boxes in the My FSA area
8	Click **go!** next to CUSTOMIZE YOUR LINKS
9	Under the Customize My FSA area, click **FSA Links**
10	Select or deselect links until your list of choices is complete
11	Click **Apply**
12	Click **OK**
13	From the homepage in the Customize My FSA area, add a bookmark: • Click **My Bookmarks** • Enter the Title and the URL in the Add New Bookmark area • Click **Add**

Hints:

- Recommended browsers:
  - Microsoft Internet Explorer Version 4.01 Service Pack 2 or higher
  - Netscape Communicator Version 4.7 or higher
- Browsers must have JavaScript support turned on
- Only browsers that support Java Applets can display My FSA pages
- AOL and Lynx text reader browsers are **not** supported

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Session 3: Subscribing to IFAP Updates

Step	Action
1	Access IFAP web site at ifap.ed.gov/
2	Click **Member Services**
3	If you have not already registered, click **Click Here to Register** to register as an IFAP member (Your password will be emailed to you within 24 hours)
4	Once registered, log in with your user name and password
5	Click **Login**
6	Click **Subscription Options**
7	Select any of the four updates available and select specific options under each: • Weekly Summary of ALL IFAP Additions (Default Setting) • Frequently Generated IFAP Additions (within 48 hours) ✦ Action Letters ✦ Dear Partner/Colleague Letters ✦ Direct Loan Bulletins ✦ Electronic Announcements ✦ Policy Bulletins • Additional Publications by Publication Type (within 48 hours) ✦ Audit Guides ✦ Blue Books ✦ Counselor's Handbooks ✦ Default Rate Materials ✦ NSLDS Reference Material ✦ SAR and ISIR Materials (This is a partial sample listing) • Additional Publications by Program and Service ✦ Campus-Based Programs ✦ FFEL ✦ Student eligibility ✦ Verification (This is a partial sample listing)
8	Click **Go to SUBMIT** button, or click **SUBMIT** at the bottom of the page

Session 4: Requesting an Initial PIN

Step	Action
1	Access PIN web site: pin.ed.gov/
2	Click **PIN REQUEST AND INFORMATION**
3	Click **Apply for PIN**
4	Click **NEXT**
5	Enter personal information – Social Security Number – Last Name – First Name – Middle Initial – Date of Birth – Street Address – City – State – ZIP Code – E-mail address – Re-enter e-mail address – Enter security pass-phrase (6 to 12 alphanumeric characters; not case sensitive) – Re-enter pass-phrase
6	Click **NEXT**
7	Click **SUBMIT MY PIN APPLICATION**
8	Receive Confirmation Stamp on PIN Application Confirmation Page

Session 4: Requesting a Subsequent PIN

Step	Action
1	Access PIN web site: pin.ed.gov/
2	Click **PIN REQUEST AND INFORMATION**
3	Click either – **CHANGE PIN** (to receive a new generic or personalized PIN because the original was lost or stolen or student wants a personalized PIN); *or* – **REQUEST A PIN BE MAILED** (to receive a duplicate PIN because the original was forgotten)
4	CHANGE PIN option
4a	• For either Generic or Personalized option, enter information as requested
4b	• Click **SUBMIT REQUEST**
4c	• From the drop-down list, select how you would like the PIN sent to you
4d	• Click **YES**
5	REQUEST A PIN BE MAILED option
5a	• Enter personal information, as requested
5b	• Click **SUBMIT REQUEST**
5c	• From the drop-down list, select how you would like the PIN sent to you
5d	• Click **YES**

Session 5: Accessing FAA on the Web

Step	Action
1	Access FAA home page: fafsa.ed.gov/FAA/faa.htm
2	Click **Next**
3	Enter your personal information – Social Security Number – First two (2) letters of the last name – Date of Birth – PIN
4	Click **SUBMIT REQUEST**
5	Click an option from the menu – **Student Inquiry** – **Batch Status** – **Duplicate Renewal Print**
6	Student Inquiry option – Enter Federal School Code – Select Award Year from drop-down list
6a	Click **Next**
6b	Enter student's information – Social Security Number – First 2 letters of last name
6c	Click **Submit** to get a listing of the student's SAR transactions
6d	To continue, click an option – **View a Different Student's Data** – **Return to FAA Menu** – **Exit**
7	Batch Status option – Enter Destination Code (TG number) – Enter Federal School Code – Select Award Year from drop-down list
7a	Click **Next**

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Step	Action
7b	Select how to view batches from list – Batch Number – Batch (File) Type/Date Range
7c	Click **Next** to continue browsing or select another option – New Search – Return to FAA Menu – Exit
8	Duplicate Renewal Print option – Enter Destination Code (TG number) – Enter Federal School Code – Select Award Year from list
8a	Click **Next** to display the next four steps to be followed – Enter the student's Social Security Number (SSN) and Name ID – Enter the address where the Renewal Application will be mailed – Verify your request information – Receive confirmation
8b	Click **Next** after reviewing information
8c	Enter Student's information – Social Security Number – First 2 letters of last name
8d	Click **Next** to continue with the process

Session 5: DPA Enroll Additional Users in FAA Access on the Web

Step	Action
1	Access the Student Aid Internet Gateway Online at: sfawebenroll.ed.gov/T4Enroll/index.htm
2	Click **FAA Administration**
3	Enter your TG number, which begins with TG and is followed by 5 digits
4	Click **Next Page**
5	Enter the DPA's Social Security Number, Date of Birth, and mother's maiden name.
6	Click **Next Page**
7	Click **Add New FAA User**
8	Click **Continue**
9	Enter the new FAA user's data including Social Security Number, Date of Birth, and mother's maiden name
10	Click **Continue**
11	Select the appropriate School Code
12	Select the appropriate access rights for the user (read, write, or blank) for each service
13	Click **Continue**
14	Print and sign the required User Statement, to be kept on file at your office
15	The new FAA user is added to the DPA's enrollment. A PIN Mailer or PIN email is delivered to the new FAA user

Session 6: Enroll in NSLDS Transfer Monitoring

Step	Action
1	Access the NSLDS Financial Aid Professional web site at nsldsfap.ed.gov
2	If you are not already a registered user, click **Sign-Up Information**
3	Click **Enroll**
4	From the drop-down arrow, select Initial Application
5	Click **Next Page**
6	From the drop-down arrow, select Yes
7	Click **Next Page**
8	Enter the organization name of the Destination Point Administrator
9	Click **Next Page**
10	From the drop-down arrow, select your type of organization
11	Click **Next Page**
12	From the drop-down arrow, select if you are a Direct Loan school or a servicer for a Direct Loan school
13	Click **Next Page**
14	From the drop-down arrow, select if you will use a personal computer, a mainframe, or both to access SAIG
15	Click **Next Page**
16	Enter who should receive all organization correspondence (First Name, Last Name)
17	Click **Next Page**
18	Submit – Mailing Address – Optional Address – City – State – Country – Zip Code – Phone number – Fax number
19	Click **Next Page**

Step	Action
20	Enter the name of the organization that should receive all organization correspondence
21	Click **Next Page**
22	From the drop-down arrow, select if you want all enrollment documents sent to another individual rather than to this Destination Point Administrator
23	Click **Next Page**
24	If you selected yes, enter the name of who should receive all enrollment documents (First Name, Last Name and Title), and click **Next Page**
25	From the drop-down arrow, select if you want all technical references sent to another individual rather than to this Destination Point Administrator
26	If you selected yes, enter the name of who should receive all technical references (First Name and Last Name), and click **Next Page**
27	Click **Next Page**
28	If you selected yes, submit the following – Mailing Address – Optional Address – City – State – Country – Zip Code – Phone number – Fax number
29	Click **Next Page**
30	From the drop-down arrows, select your time zone and if daylight savings time affects your area
31	Click **Next Page**
32	View Step Two: Information about a Destination Point Administrator at your organization and click **Next Page**
33	Complete questions in Step Two to designate the Destination Point Administrator (DPA) at your organization
34	Click **Next Page** after each screen you complete
35	Click **Next Page**
36	Review your initial application information and make any necessary corrections
37	Click **Submit Form**

Session 6: NSLDS Transfer Monitoring

Add School Transfer Profile

Step	Action
1	Access the NSLDS Financial Aid Professional web site at nsldsfap.ed.gov
2	Enter your user ID and password
3	Click **Logon**
4	Click the **Tran** tab
5	Click the **School Transfer Profile** link
6	Click **Update**
7	Enter the name, title, and phone number of the school's contact
8	Enter the email address designated to receive the Alert notification messages
9	In the Inform box, enter the Title IV WAN mailbox from which the school's servicer will be submitting Inform files—if your school uses a designated servicer to submit batch Inform files
10	In the Alert boxes, select how you want your school's Alert information to be sent (i.e., via Web Only or Web and Batch files through the Title IV Wan); if you select Web and Batch, you must provide a Title IV WAN Mailbox (TG number)
11	For the Batch Alert Method, select the box of the appropriate Alert Format • Extract to indicate you want to receive Alerts as a data file *OR* • Report to indicate you want to receive Alerts in a report format If you selected Web Only, do not select either the Extract or Report boxes
12	Click **Submit**

Session 6: NSLDS Transfer Monitoring

Add Organization Contact

Step	Action
1	Access the NSLDS Financial Aid Professional web site at nsldsfap.ed.gov
2	Enter your user ID and password
3	Click **Logon**
4	Click the **Org** tab
5	Click the **Org Contact List** link
6	Click the **Add New Contact** button
7	Select the function the new contact is being assigned (Note: a contact can be assigned multiple functions, but a function can be assigned only to one contact)
8	Enter the new contact's name, phone number, and email address
9	Click **Submit**

Session 6: NSLDS Transfer Monitoring

Add Student to Monitor

Step	Action
1	Access the NSLDS Financial Aid Professional web site at nsldsfap.ed.gov
2	Enter your user ID and password
3	Click **Logon**
4	Click the **Tran** tab
5	Click the **Transfer Monitoring List** link
6	Click the **Add Student to Monitoring List** button
7	Enter the student's information (will automatically appear if you link from the Loan or Pell Grant History pages) • Social Security Number • First Name • Last Name • Date of Birth
8	For Enrollment Begin Date, enter the date that the student either is expected to begin or did begin classes at your school
9	For Monitor Begin Date, enter the date you want NSLDS to begin monitoring the student; current date is the default but can be changed
10	Click **Submit**

Session 6: Downloading the EDExpress Quality Analysis Tool for Verification

Step	Action
1	To download and install the Quality Analysis Tool software, access the SFA download web site: sfadownload.ed.gov
2	Click **Continue**
3	Click **Continue**
4	Half-way down the page, click **Quality Analysis Tool 2002-2003 Version 2.0**
5	Click **Full Download for Win95/98/NT/2000/ME** and follow instructions
6	Download the Desk Reference
Step	**Actions for First Time Log On**
1	From the Windows Startup Programs menu, click **EDESuite**, click **Quality Analysis Tool for Windows and Quality Analysis Tool for Windows 2002-2003**
2	Type your user ID (your first time ID is SYSADMIN)
3	Type your password (your first time password is SYSADMIN) and press Tab
4	Type a new user ID and password
5	If your password needs to be changed, type your new password, and then type your password again in the Verify Password field
6	Click **OK**
7	If you see the Startup Information dialog box, read the messages displayed there, then click **Close**
8	To optimize your Quality Analysis Tool, refer to your Desk Reference and complete the following: 1. Set Up • System • Verification Edit Profile • File Management • User Database • User Security 2. Create Custom Formats 3. Import Data 4. Validate Data 5. Analyze Data

Session 6: Using the EDExpress Verification Worksheet

Step	Action
1	Open EDExpress and retrieve the student's record
2	Click the **Verification Worksheet (Ver. Wks)** tab
3	Click the **ellipsis (...)** button on the button bar (or select Record Retrieve from the main menu)
4	Click the **ISIR** to select it
5	Click **OK**
6	Enter necessary information in the Tax/Wrksht column
7	Click the **Save** icon (or select File Save from the menu bar) to save the record
8	If the Diff column is not blank: click the **Correct...** button to create a correction record for the student
9	Click **Yes** to create the correction record
10	Click **OK**
11	Enter the updated information. Note: new data is displayed in a different color and is saved as part of the selected ISIR so that if the ISIR is displayed on the SAR/ISIR tab, you can see what changes have been made
12	Option: type a memo in the new memo field
13	Select **Save** from the menu bar

Tools for Ensuring Program Integrity
Word Search Puzzle

S	N	O	I	T	P	M	U	S	S	A	P	R	O	G	R	A	M	S	K
I	N	T	E	G	R	I	T	Y	Y	R	U	L	E	S	G	S	N	E	O
Y	Z	W	O	V	O	M	B	Z	P	L	R	A	H	I	M	E	C	C	O
B	E	W	E	H	T	N	O	S	S	E	C	C	A	A	A	F	M	I	B
Y	P	J	K	Y	W	E	A	L	Z	R	W	X	U	F	T	C	A	T	D
G	N	I	R	O	T	I	N	O	M	R	E	F	S	N	A	R	T	C	N
R	C	Q	D	G	W	V	M	I	S	I	R	G	U	I	D	E	C	A	A
G	P	W	R	A	T	Q	C	M	R	E	Y	T	W	M	V	I	H	R	H
W	T	K	L	W	O	O	N	C	F	I	D	A	T	O	S	N	F	P	A
E	D	E	T	E	C	H	R	E	F	O	R	O	L	N	N	F	L	T	F
F	R	Y	M	Q	L	X	J	A	P	N	T	I	C	I	Q	O	A	S	S
T	E	P	Y	A	Y	S	P	Z	I	P	N	W	P	T	U	R	G	E	V
R	N	M	T	N	O	U	Z	N	J	K	T	P	B	O	C	M	S	B	W
J	V	R	O	C	P	T	G	N	S	Z	N	M	S	R	M	E	M	Y	V
B	O	N	X	D	Z	S	Q	D	I	L	E	E	K	C	H	Y	J	P	Y
P	L	R	A	P	W	B	Y	S	Y	T	O	L	N	W	I	T	F	E	W
I	N	T	E	R	A	C	T	I	V	E	M	O	D	U	L	E	S	S	R
E	E	N	I	Z	T	L	P	Z	I	F	H	L	T	N	S	L	D	S	A
S	T	N	E	M	S	S	E	S	S	A	A	F	S	A	Q	N	V	P	D
B	C	G	Z	P	Q	M	Z	Q	R	D	D	H	U	Z	Q	F	G	P	S

Look for these words, and then search for the hidden message:

- Alert
- Match Flags
- Assumptions
- Monitor
- Best Practices
- My FSA
- COTW
- NSLDS
- EDE Tech Ref
- PIN
- eMPN
- Portal
- FAA Access On The Web
- QA Tool
- FOTW
- Reject Codes
- IFAP Updates
- SFA Assessments
- Inform
- SFA Handbook
- Interactive Modules
- Transfer Monitoring
- ISIR Guide
- Warnings
- Links

Session 2: Key Learning Points

True or False

FALSE 1. The U.S. Department of Education is the only entity responsible for ensuring the integrity of the Title IV programs.

TRUE 2. Having an educated population helps democracy continue to flourish the U.S., which is something we must never take for granted.

TRUE 3. Because of the many important contributions the Title IV programs make to our country, we all have a stake in ensuring that they continue.

TRUE 4. The President's Management Agenda emphasizes the need to improve the management and performance of the federal government.

FALSE 5. The three areas of risk to Title IV Programs mentioned in this session include awards, staffing and cash management.

Circle All that Apply

6. The President's Management Agenda proposes to make improvements by:
    a. Encouraging high school graduates to join the military
    b. ***Focusing on results***
    c. ***Reducing fraud, waste and ineffectiveness***
    d. Placing "Just Say No" signs in middle schools and high schools
    e. Reducing the number of federal employees
    f. ***Ensuring program integrity***
7. The dictionary definition of integrity includes:
    a. ***Steadfast adherence to a strict moral or ethical code***
    b. Consideration for and deference to another's privileges or knowledge
    c. ***Being in a state of soundness***
    d. Ethical, legal, or moral obligation
    e. ***Having the quality of completeness***
8. Examples of FSA's recent efforts to enhance and support its internal emphasis on program integrity include:
    a. ***Training FSA staff***
    b. Restricting public access to information about federal financial student aid programs
    c. ***Analyzing and revising internal processes and procedures***
    d. ***Modernizing internal and external systems***

Session 3: Schools Portal Links and Features

Links/Features		A	B
Conferences/Training			
8	**Conferences**	Location and dates of next EACs	Presentations from latest conference
9	**FSA University (training)**	Nearest New FAA training	Training registration
Reference Library			
3	**Common Origination and Disbursement (COD)**	Latest COD announcements	Latest COD Technical Reference
6	**Guidance: Terrorist Attacks**	Guidance on loan payments for a former student whose Reserve Unit was activated	Guidance on school's policy on Hate Crimes
1	**IFAP Home Page**	Dear Partner/Colleague Letter	List of FSA Customer Service Centers
4	**Publications (IFAP) By Title or By Topic**	Cohort Default Rate Guide	Variety of resources on Perkins loans
FAA Access to Student Data			
2	**CPS/Applicant data**	Web site where FAAs can view students' SAR data	Web site where FAAs can check the status of ISIR batches
5	**Direct Loan: Loan Origination or Loan Servicing**	Check the Loan Origination System record for a student's Direct Loan	Delinquency reports that list students who are delinquent on Direct Loan payments
7	**NSLDS for FAAs**	Report a Pell Grant overpayment	Confirm that a student has defaulted loans
10	**Pell/RFMS**	Status of your Pell batches	Pell news
Book Store			
20	**Publications and How to Order**	Order outreach materials for local high schools	Bulk order FAFSAs
23	**SAIG Software Download and Documentation**	Download Return of Title IV Funds software	Download EDconnect software
Participation & Funding			
13	**Application/Recertification (E-App)**	Online form to document a change in ownership	Recertification application

Links/Features		A	B
26	**FISAP on the Web**	Submit annual FWS expenditures	Campus-Based Program funding
30	**GAPS & E-payments**	Request the drawdown for campus-based awards	Confirm GAPS transaction adjustment
15	**PEPS**	ED's information about a school's programs	School's Program Participation Agreement info
11	**Quality Assurance Program**	Model of Quality Award recipient	Apply to participate in the Quality Assurance Program
18	**SAIG Enrollment Site**	Add a destination point for receiving/transmitting information to/from ED	Check SAIG enrollment status
28	**Tools for Schools**	**Self Assessment Tool** Tool to help conduct a management assessment to look for improvement areas	**Verification Software** Tool to help conduct an in-depth analysis of applicant population
Related Web Sites			
17	**ED Home Page**	Overview of the U.S. Department of Education's priorities and educational resources	Budget proposals for next year's Title IV funding
21	**FSA Home Page**	Web site with info about every stage of the student financial aid process for students in or out of school	Think College Early Toolbox
Schools Portal Menu Options			
12	**Portal Help**	Information about the parts of FSA Schools Portal	
22	**FAQ**	General questions about the FSA Schools Portal	
24	**Contacts**	FSA Customer Service Centers	
14	**Got a Question?**	Send a portal question to FSA Customer Service	
25	**Portal Feedback**	Email a suggestion about improving the Schools Portal	
19	**Calendar Item**	Request that an item get posted to the Schools Portal Calendar	
27	**FSA Headlines**	2002 Negotiated Rule Making	
29	**FSA Search Tool**	Search the entire IFAP database	
16	**My FSA**	Customize your own Schools Portal	

Session 3: Key Learning Points

FSA Schools Portal Features and Functions

Column A	Column B
FSA Links	1. Contains Reference Library, FAA Access to Student Data, Book Store, Participation & Funding, Conferences & Training.
FSA Headlines	2. Displays FSA News and links to other important news items.
My FSA	3. Gives user access to a customized version of the FSA Schools Portal.
Portal Feedback	4. Allows users to submit feedback and suggestions about the Schools Portal web site by email to the web site manager.
FSA Schools Portal	5. An electronic gateway to a wide variety of FSA resources and links.
FSA Search	6. Allows user to search the FSA sites and the IFAP database.
IFAP	7. Web site that provides customized FSA information updates by email.
Boolean	8. A logical combination system that represents relationships using the operators AND, OR, and NOT.
Portal Help	9. Provides user with online help and customer service contact information.
FSA Calendar	10. Hyperlinks display events, deadlines, training, and NPRMs of interest.
Customize	11. Allows the user to filter the web site options so that the screen and links best fit individual needs.
FAQs	12. Online listing of frequently asked questions/answers about Schools Portal.
Contacts	13. Comprehensive listing of call/service centers supported by FSA.
Got a Question?	14. Allows user to send questions by email directly to the FSA Customer Service Call Center.
Calendar Item	15. Allows user to complete an online request to have an event publicized/posted to the calendar.

Session 4 Key: Learning Points

True or False

FALSE 1. Only students can apply for a PIN.

FALSE 2. Only returning students can use FAFSA on the Web.

FALSE 3. Only students who previously applied using FAFSA on the Web can use the Renewal FAFSA on the Web.

TRUE 4. Students and parents of dependent students must have a PIN to make corrections to FAFSA data using Corrections on the Web.

TRUE 5. The eMPN is a web-based Master Promissory Note.

FALSE 6. Only a student's loan history is maintained in the National Student Loan Data System (NSLDS) database.

FALSE 7. Parents of more than one dependent student applicant must have a separate PIN for each application they sign.

Fill In the Blanks

8. The acronym for Personal Identification Number is ***PIN***.
9. ***FAFSA on the Web*** may be used by students to complete their applications for federal student aid faster and more easily than any other application method.
10. ***NSLDS*** is the ED's central database for student financial aid history.
11. Most data submitted on the FAFSA can be corrected using ***Corrections on the Web*** if a student has a PIN.
12. The web-based instrument used by some students to accept one or more loans is called ***eMPN***.
13. ***FAFSA on the Web demo*** is a useful tool for orienting new students to using FAFSA on the Web.

Session 5: ISIR Code Grid

"Code" = Comment Code "M" = Match Flag "C" = C Code "R" = Reject Code

Pierre Colnot: ISIR Comment Code = 006, 057, 109, 138, 170

Code	M	C	R	Problem	Resolution
138	7	Y		NSLDS found student's reported Social Security number on its database, but name and date of birth did not match. Therefore ISIR does not contain the financial aid history associated with reported SSN	Access NSLDS and search on SSN to see if record belongs to student or if another data provider supplied conflicting SSN. If so, contact provider directly to resolve discrepancy. After documenting that SSN is accurate, student may be disbursed.
057	X	Y		Selective Service didn't register student because he did not answer "Yes" to "Are You Male?	To register, student answers "Yes" to BOTH "Are You Male?" and "Register for Selective Service?" on ISIR, completes and submits Selective Service registration form, or registers online at **www.sss.gov**
109	X	Y		INS can't confirm citizenship	Students contacts FAA to find out what information is needed; Must begin paper (G845) secondary confirmation process

Code" = Comment Code "M" = Match Flag "C" = C Code "R" = Reject Code

Phoebie Smythe: ISIR Comment Code = 006, 060, 062, 118, 159

Code	M	C	R	Problem	Resolution
060	2	Y		DOB on FAFSA doesn't match SSA record.	If DOB is correct, student provides documentation resolving discrepancy and contacts SSA to update their records. Once SSA corrects its records, student sends SAR correction to verify DOB, then SAR is resubmitted for database matches. Match flag stays the same until SSA updates its database. If DOB is wrong, student corrects SAR. FAA reviews subsequent transactions for updated match flag.
062	N	Y		SSA couldn't confirm claim of citizenship because of questions about name, SSN, or DOB.	If information reported is correct, student contacts SSA and submits to FAA documentation that clearly proves student is citizen or eligible noncitizen. If information is wrong, student makes SAR corrections to SSN, name, or DOB and record is resubmitted to SSA for matching. Review subsequent transactions for updated match flag. If SSN is wrong, student may correct the SAR (original SAR ID does not change but current SSN reported in field 8 does). Or student may file a new FAFSA under the correct SSN (FAFSA treated as an original application, submitted for matches, and SAR ID is same as SSN reported on this app).
159				Student reported bachelor's degree and may not be eligible for a Pell Grant	FAA to determine student's eligibility

"Code" = Comment Code "M" = Match Flag "C" = C Code "R" = Reject Code

Chandler Bingo: ISIR Comment Code = 006, 040, 108, 129, 162

Code	M	C	R	Problem	Resolution
162	2	Y		VA did not confirm student is or will be a qualifying veteran for purposes of receiving federal student aid for 2002-2003.	Student corrects VA status to Yes to generate a history correction to send to VA for rematching. In the interim, FAA collects documentation that clearly demonstrates student is a veteran (DD214 form showing that "Character of Service" is other than "dishonorable") and does an independent override. Until VA database is corrected, match doesn't change.
129			2	Must provide parent(s) income information.	Related to VA issue; if school can confirm veteran status, will need to do an independent override; otherwise, need parent's income information.
108			15	Parent did not sign application or corrections. If parent is not able to sign, see FAA or High School Counselor.	Related to VA issue; if school can confirm veteran status, will need to do an independent override; otherwise, need parent's signature.

"Code" = Comment Code "M" = Match Flag "C" = C Code "R" = Reject Code

Rachel Greenburg: ISIR Comment Code = 006, 112, 118, 124, 132, 178, 236

Code	M	C	R	Problem	Resolution
178			W	# of family members reported needs to be reviewed.	Student submits SAR correction either correcting or verifying information. Or FAA corrects ISIR with Reject Override (W).
132	2	Y		NSLDS reports defaulted federal student loan.	Depending on loan status, student may need to contact GA, DLS, EDR, or ED and make satisfactory arrangements to repay loan. If student has already repaid loan, obtain documentation that the loan was paid off by the student.
124	2	Y		Need to contact agency regarding defaulted federal student loan.	Depending on loan status, student may need to contact GA, DLS, EDR, or ED and make satisfactory arrangements to repay loan. If student has already repaid loan, obtain documentation that the loan was paid off by the student.

"Code" = Comment Code "M" = Match Flag "C" = C Code "R" = Reject Code

Joseph Trippianni: ISIR Comment Code = 006, 030, 041, 053, 112, 133

Code	M	C	R	Problem	Resolution
053		Y		No answer to "Drug Conviction Affecting Eligibility?"	Student corrects SAR with appropriate response.
133	3	Y		NSLDS reports that student received at least one overpayment of federal student aid funds.	Student must resolve overpayment.
041	3	Y		Pell overpayment needs to be resolved by contacting ED.	Student must write to or call ED at 1-800-621-3115 to resolve Pell overpayment.
030	N	Y		Selective Service reports that student didn't register	Register; present confirmation of registration or qualify for a waiver or exemption

Session 5 Key: Learning Points

Fill In the Blanks

1. Identify the database against which FAFSA information is matched to determine the FAFSA applicant's eligibility for federal student financial aid:

   a. To verify that the name, date of birth and Social Security number are correct, each applicant is matched against the ***Social Security Administration*** database.

   b. The federal student financial aid history of each applicant is retrieved from the ***NSLDS*** database.

   c. The ***INS*** database is matched to determine the eligibility of students who are not U.S. citizens.

   d. The ***Selective Service*** database is matched for male applicants (18 years or older).

   e. The ***Veterans Affairs*** database is matched for veterans status.

2. CPS edits of FAFSA data may trigger a number of different reject codes, all of which result in ***no EFC is calculated***. Resolution *is required* to disburse aid.

3. Sometimes when paper FAFSA applicants report data that seems inconsistent, edits performed by the CPS trigger ***assumptions***, which replace data the applicant reported with other data that seems to be more consistent.

4. FAA Access on the Web gives you easy access to student data so that you can view the student's SAR data, check the status of batches submitted for processing, make ***corrections*** to the application, and request that a ***PIN*** be sent to the student.

Yes or No?

5. The destination point administrator (DPA) at each school has received a PIN giving them access to FAA Access on the Web.

   YES a. Can this PIN be used to sign a FAFSA for themselves or their child?

   YES b. Can other staff members also receive a PIN?

Session 6 Key: Verification Scenarios

Scenario 1

FSA University wants to be sure that its corresponding written policies and procedures concerning verification meet the requirements set forth by ED. To help in this task, you and a co-worker have started a checklist. Double check the checklist, and put a checkmark next to each item that should be included in your school's verification policies and procedures.

1. __✓__Deadlines for students to submit verification documentation and the consequences if the deadlines are not met
2. ______Definition of a student athlete
3. __✓__Method of notifying students of award changes due to verification
4. __✓__Documentation required for verification
5. ______Required procedures for requesting a housing deposit refund
6. __✓__Standard procedures for referring overpayments to the Department
7. __✓__Student responsibilities, including deadlines, consequences for missing deadlines, and correction procedures
8. ______Deposits required of incoming freshmen
9. __✓__Required correction procedures for students
10. ______Definition of non-satisfactory academic progress
11. __✓__Notification methods for award changes and time frame for such notification
12. __✓__Telephone number and address of the local fire department

Scenario 2

Review the following definitions for "applicant" and "total applicants." Place a check mark in front of each one that is acceptable.

1. __✓__Applicant - Student who applies for federal student aid
2. __✓__Applicant - Student who is eligible to receive an award from the programs
3. ______Applicant - Early FAFSA filer
4. __✓__Applicant - Student who applies for federal student aid and enrolls
5. ______Total Applicants - Total number of applications from eligible non-citizens received by the school's priority deadline of March 15
6. __✓__Total Applicants - Total number of applications received from enrolled students
7. __✓__Total Applicants - Total number of applications received from students who are eligible to receive an award
8. __✓__Total Applicants - Total number of applications received

Scenario 3

Based on ED's 30% verification limit option, calculate both the minimum number each school must verify to satisfy ED's requirement, as well as the total number each school must verify to meet their own institutional verification policies. Notice that, based on their individual institutional policies, some schools must verify more applications than were selected by the CPS.

Institutional Verification Policies

School	School's definition of total applicants	30% of total applicants	Selected by CPS	Minimum # to verify to meet ED requirement	Total # to verify
A	5,000	1,500	2,250 (45%)	***1,500***	***2,250***
School A's policy is to verify 100% of the applicants selected by CPS					
B	7,500	2,250	2,250 (30%)	***2,250***	***3,750***
School B's policy is to verify 50% of all applicants					
C	2,600	780	520 (20%)	***520***	***2,600***
School C's policy is to verify 100% of all applicants					
D	11,500	3,450	1,725 (15%)	***1,725***	***1,725***
School D's policy is to verify the minimum number required by ED					
E	1,000	300	300 (30%)	***300***	***1,000***
School E's policy is to verify 100% of all applicants					

Scenario 4

Mary O'Connell, an incoming 18-year-old freshman, is very adept at using her PC to conduct her personal business. As soon as she got your request for verification documentation, she started gathering the information; she didn't wait for her parents to return from their vacation. She downloaded a copy of the 2002-2003 Independent Verification Worksheet from your web site, signed it, scanned it, and forwarded it to the financial aid office via an email attachment. She also attached scanned copies of her signed 2001 state income tax return along with her parents' signed 2000 federal income tax return. Wanting to be thorough, she went through her dad's file cabinet to see what other documentation she could scrounge up. She found a copy of her 2001 W-2, as well as her mom's, so she scanned and emailed those documents, too.

1. Are scanned copies of verification worksheets and federal income tax returns acceptable documentation?

   Yes, as long as they are properly signed (similar to photocopies).

2. Based on the documents Mary emailed, what, if anything do you still need to complete verification?

   Everything - verification worksheet and signed federal tax return

   She should have downloaded, completed and signed the 2002-2003 Dependent Verification Worksheet. And she must have one of her parents sign it.

   She needs to forward her signed 2001 federal income tax return.

   She needs to forward her parents' signed 2001 federal income tax return.

3. Although your institutional verification policy does not require the submission of W-2's, must you ask for her dad's, now that you have hers and her mom's?

   No.

   However, now that you have 2001 W-2's for Mary and her mom, you must review that information to ensure that it does not conflict with the reported application information.

Scenario 5

Based on her age, Patty Bouvier is an independent applicant whose application was selected for verification. As you requested, she submitted a signed verification worksheet indicating she is unmarried and a signed copy of her 2001 federal income tax return.

When she filed her application on February 8, 2002, she indicated she was unmarried with a household size of one and reported income and AGI only for herself. However, the signed 2001 federal income tax return she submitted was filed jointly with Simon LeGre, her husband. After talking with Patty, you find out that she and Simon lived together until February 28, when they became legally separated. She confided that she decided to report "unmarried" on the FAFSA, since she knew she was going to leave Simon as soon as she bought new tires for her car.

1. Did Patty submit all of the documentation she is required to?

   Yes, a signed verification worksheet and a signed tax return (jointly filed)

2. Should marital status, household size, income or AGI be corrected? Why or why not?

   Yes, all of these items should be corrected to reflect that Patty was married on the day the application was filed and should include her husband.

   Marital status cannot be projected and the applicant's marital status cannot be updated.

Scenario 6

Patty has a much younger brother, Brandon Bouvier, who also attends your school and whose application also was selected for verification. Since Brandon needed to submit his verification documentation anyway, he came along with Patty for the ride.

Based on the conversation you just had with Patty, you decide to take a couple of minutes to chat with Brandon as well. His 2002-2003 Dependent Verification Worksheet, which his dad signed, indicates that his parents will not file a tax return for 2001 (in fact, they haven't filed a tax return since 1998). The ISIR indicates that his parents have combined earnings of $55,000; cash, savings, and checking of $10,000; and assets of $2,500. The information the family reported on the Verification Worksheet matches the information on the ISIR.

1. Since Brandon's verification worksheet matches up against his ISIR data, do you need to take any action?

   If the school has reason to believe that Brandon's parents would have been required to file a federal tax return, then the student has reported what amounts to conflicting information, which the school must resolve.

2. If so, what and why?

   The school should ask for a letter of confirmation from the IRS. If the IRS indicates that Brandon's parents must file a federal tax return, then the school won't be able to complete the verification process until they provide a signed copy of their 2001 federal income tax return.

Session 6: Key Learning Points

Complete the Following

1. Components of the NSLDS Transfer Monitoring process are listed below. In the blank next to each, indicate whether the school or NSLDS is responsible.
   a. ***School*** Set up School Transfer Profile
   b. ***School*** Add mid-year transfer student to Monitoring List
   c. ***NSLDS*** Monitor mid-year transfer student's financial aid activity
   d. ***NSLDS*** Send alert message to advise of relevant changes
   c. ***School*** Review NSLDS to determine if updates impact student eligibility
2. Name the other systems that submit financial aid history information to NSLDS.
   - *Central Processing System (CPS)*
   - *Postsecondary Education Participation System (PEPS)*
   - *Federal Family Educational Loan (FFEL) Systems*
   - *Guaranty agencies*
   - *Other schools*
   - *Recipient Financial Management System*
   - *Direct Loan Servicing System*
   - *COD*
3. Name some important reasons for verifying student application data.
   - To ensure that federal student aid programs are being managed effectively
   - To identify errors and minimize the waste of federal tax dollars
   - To minimize overawards and underawards
   - To ensure that Pell Grant funds are going to the neediest of students
   - To ensure the integrity of federal student aid programs
4. Identify which of the following apply to verification:
   a. X Schools are required to verify at least 30% of the total number of their FSA-eligible applicants.
   b. X Each school must develop its own policy for determining the number of applications that make up the 30% of the total.
   c. ____ A school may decide how many of the applications selected by the CPS it will verify.
   d. X Schools can choose to verify additional application items.
   e. X A school's institutional verification policies and procedures must be consistently applied.
5. Name the tool that assists schools in assessing their current verification policies and practices.
   SFA Assessment Module: Student Eligibility
6. Name the tool that assists schools in conducting an in-depth analysis of application populations so that they may gather useful information upon which to base institutional verification policies.
   Quality Analysis Tool for Verification

135

Tools for Ensuring Program Integrity Word Search Puzzle Answer Key

S	N	O	I	T	P	M	U	S	S	A	P	R	O	G	R	A	M	S	K
I	N	T	E	G	R	I	T	Y		R	U	L	E	S				E	O
																		C	O
B	E	W	E	H	T	N	O	S	S	E	C	C	A	A	A	F	M	I	B
																	A	T	D
G	N	I	R	O	T	I	N	O	M	R	E	F	S	N	A	R	T	C	N
					W			I	S	I	R	G	U	I	D	E	C	A	A
				A	T					E			W	M		I	H	R	H
			L		O				F	I	D	A		O		N	F	P	A
E	D	E	T	E	C	H	R	E	F	O	R	O	L	N	N	F	L	T	F
	R		M		L			A		N		I	C	I		O	A	S	S
T		P		A			P		I		N	W	P	T		R	G	E	
	N		T			U		N		K				O	C	M	S	B	
		R	O		P		G		S					R	M	E			
	O			D		S				L						Y	J		
P			A								O						F	E	
I	N	T	E	R	A	C	T	I	V	E	M	O	D	U	L	E	S	S	R
	E												T	N	S	L	D	S	A
S	T	N	E	M	S	S	E	S	S	A	A	F	S	A					
															Q				

How many of the search words did you find?

Were you able to find the hidden message (Program Integrity Rules)?

Session 5:

2002-2003 ISIR Comment Codes and Text

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
001	This is a copy of the ISIR you requested.				Y
002	No comment text printed. Early Analysis flag set ISIR Field/Value: Early Analysis Flag (Pos. 513) = 1				N
003	This ISIR shows corrections to your data that was previously entered incorrectly by an MDE agency.				Y
004	This ISIR has been produced due to a change in your financial aid history information in the National Student Loan Data System (NSLDS) that may affect your eligibility for federal student aid.				Y
005	We were unable to read all of the information on your application or SAR because it was damaged. Please review all of the items on this ISIR and make any corrections as needed.				Y
006	If you need additional help with your ISIR, contact your school Financial Aid Administrator (FAA) or the Federal Student Aid Information Center at 1-800-4FED-AID (1-800-433-3243). If your address changes, contact your school or call 1-800-4FED-AID to make the correction on your record.				Y
007	Not used.				
008	Not used.				
009	We cannot process your application further because of issues raised by terms of the Anti-Drug Abuse Act of 1988. For information on how to proceed, you must contact us within 30 days from the date of this letter by telephone at 202-377-3243.			19	Y
010	For additional information about your FSEOG overpayment, your Financial Aid Administrator must access NSLDS. **Resolution required.**	3	Y		Y
011	No comment text printed. Satisfactory repayment on FSEOG overpayment. ISIR Field/Value: FSEOG Overpayment Flag (Pos. 1593) = S; FSEOG Contact Code (Pos. 1594) = numeric and not 04, 05, or 09				N
012	No comment text printed. Satisfactory repayment on FSEOG overpayment. ISIR Field/Value: FSEOG Overpayment Flag (Pos. 1593) = S; FSEOG Contact Code (Pos. 1594) = 04				N
013	You cannot change your Social Security number because the Social Security Administration already verified that this Social Security number belongs to you.				Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
014	No comment text printed. Satisfactory repayment on FSEOG overpayment. ISIR Field/Value: FSEOG Overpayment Flag (Pos. 1593) = S; FSEOG Contact Code (Pos. 1594) = 05				N
015	No comment text printed. Satisfactory repayment on FSEOG overpayment. ISIR Field/Value: FSEOG Overpayment Flag (Pos. 1593) = S; FSEOG Contact Code (Pos. 1594) = 09				N
016	Your parents' total income appears to be unusually low. Review your information and make corrections if necessary.				Y
017	No comment text printed. Satisfactory repayment on FSEOG overpayment. ISIR Field/Value: FSEOG Overpayment Flag (Pos. 1593) = S; FSEOG Contact Code (Pos. 1594) = Y				N
018	You must provide your date of birth.		5		Y
019	No comment text printed. Satisfactory repayment on FSEOG overpayment. ISIR Field/Value: FSEOG Overpayment Flag (Pos. 1593) = S; FSEOG Contact Code (Pos. 1594) = blank				N
020	To resolve your Pell overpayment, your Financial Aid Administrator must access NSLDS for additional Pell overpayment information. **Resolution required.**	3	Y		Y
021	Your total income appears to be unusually low. Review your information and make corrections if necessary.				Y
022	No comment text printed. Satisfactory repayment on Pell overpayment. ISIR Field/Value: Pell Overpayment Flag (Pos. 1584) = S; Pell Contact Code (Pos. 1585) = numeric and not 04, 05, or 09				N
023	It appears that the Social Security number you reported on your application is not valid. Review the number you reported and make the necessary corrections.			P	Y
024	The Social Security Administration (SSA) did not confirm that the Social Security number you reported on your aid application is valid. If you believe that the number you reported is correct, contact the SSA. If the Social Security number is incorrect, you should submit a new application with the correct Social Security number.			18	Y
025	No comment text printed. Satisfactory repayment on Pell overpayment. ISIR Field/Value: Pell Overpayment Flag (Pos. 1584) = S; Pell Contact Code (Pos. 1585) = 04				N

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
026	If you want to register with Selective Service, you may answer "Yes" to both "Are You Male?" and "Register for Selective Service?" on this ISIR, complete a Selective Service registration form at your local post office, or register online at **www.sss.gov.** Selective Service will not process your registration until 30 days before your 18th birthday.				Y
027	No comment text printed. FAA Adjustment flag set. ISIR Field/Value: Pos. 483 = non-blank				N
028	We have forwarded your name to Selective Service for registration, as you requested. They will process your registration request 30 days prior to your 18th birthday.				Y
029	No comment text printed. Selective Service match flag = Y ISIR Field/Value: Pos. 625 = Y				N
030	The Selective Service reported that you have not registered with them. If you are female or were born before 1960, registration is not required. Otherwise, if you have not yet registered, are male, and are 18 through 25 years of age, to receive aid you must answer "Yes" to both "Are You Male?" and "Register for Selective Service?" on this ISIR, complete a Selective Service registration form at your local post office, or register online at **www.sss.gov.** If you believe you have already registered or are exempt, please contact the Selective Service at 847-688-6888. **Resolution required.** In order to meet student eligibility requirements, student must: • register with Selective Service, • present appropriate confirmation (i.e., his Selective Service Registration Acknowledgment or his letter of registration) that he is already registered, or • qualify for a waiver or exemption	N	Y		Y
031	We have forwarded your name to Selective Service for registration, as you requested.				Y
032	No comment text printed. Satisfactory repayment on Pell overpayment ISIR Field/Value: Pell Overpayment Flag (Pos. 1584) = S; Pell Contact Code (Pos. 1585) = 05				N

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
033	We could not send your name to Selective Service as you requested because you did not give us enough information, you are outside the age range for registration, or you did not sign your form. If you are at least 18 but not yet 26, you may register by answering "Yes" to both "Are You Male?" and "Register for Selective Service?" on this ISIR. You may also register by completing a Selective Service registration form, available at your local post office, or by registering online at **www.sss.gov.** If you are a male who has reached age 26, you cannot use the ISIR to register. You must contact Selective Service at 847-688-6888 to resolve your registration status before you can receive federal student aid. You are exempt from registering if born before 1960. **Resolution required.** If student is between the ages of 18 and 26, help student make corrections to his SAR/ISIR and submit corrections for processing. If the information needed to register the student is present, student's name will be sent to Selective Service. Review subsequent SAR/ISIR for updated registration flag. If student is over the age of 26 and has not yet registered, student must obtain documentation from Selective Service regarding his registration status. Determine if the student is exempt from registering or is eligible for a waiver of the registration requirement. If student did not register by the age of 26 and is not exempt or waived from the registration requirement, student may not be eligible for aid.	blank *	Y		Y
034	No comment text printed. Satisfactory repayment on Pell overpayment. ISIR Field/Value: Pell Overpayment Flag (Pos. 1584) = S; Pell Contact Code (Pos. 1585) = 09				N
035	No comment text printed. Satisfactory repayment on Pell overpayment. ISIR Field/Value: Pell Overpayment Flag (Pos. 1584) = S; Pell Contact Code (Pos. 1585) = Y				N
036	No comment text printed. Satisfactory repayment on Pell overpayment. ISIR Field/Value: Pell Overpayment Flag (Pos. 1584) = S; Pell Contact Code (Pos. 1585) = blank				N
037	Certain post-baccalaureate students enrolled in teaching credential programs may be eligible for a Federal Pell Grant.				Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
038	To resolve your Pell overpayment, your Financial Aid Administrator must contact the school associated with the Pell overpayment. **Resolution required.**	3	Y		Y
039	To resolve your Pell overpayments, your Financial Aid Administrator must access NSLDS for additional Pell overpayment information. **Resolution required.**	3	Y		Y
040	You already submitted an application to us for this school year. This ISIR contains the same information as the ISIR you received from your previous application. We made changes only to your address or schools.				Y
041	To resolve your Pell overpayment, call the U.S. Department of Education at 1-800-621-3115, or write to the U.S. Department of Education, P.O. Box 4222, Iowa City, Iowa 52245. **Resolution required.**	3	Y		Y
042	To resolve your Pell overpayment, call the U.S. Department of Education at 1-800-621-3115, or write to the U.S. Department of Education, P.O. Box 4222, Iowa City, Iowa 52245. **Resolution required.**	3	Y		Y
043	To resolve your Pell overpayment, call the U.S. Department of Education at 1-800-621-3115, or write to the U.S. Department of Education, P.O. Box 4222, Iowa City, Iowa 52245. **Resolution required.**	3	Y		Y
044	Not used.				
045	This ISIR has been produced due to information we received from the Social Security Administration regarding your record.				Y
046	This ISIR has been produced due to information we received from the Immigration and Naturalization Service (INS) regarding your citizenship status. The INS did not confirm your statement that you are an eligible noncitizen. You must submit proof of your noncitizen eligibility to your school. If you fail to submit proof within 30 days, or longer if your school allows, you may not be eligible for federal student aid. **Resolution required.** Must begin paper (G845) secondary confirmation process.	N	Y		Y
047	There are issues with your application information that need to be resolved before your eligibility can be determined. Read this letter carefully and review any items marked on this ISIR. After making all necessary corrections, you and your parent must return all documentation to your school.				Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
048	You have reported a Social Security number for your parent that is the same as yours.				Y
049	You did not report a Social Security number for your father or mother.				Y
050	There are issues with your application information that need to be resolved before your eligibility can be determined. Read this letter carefully and review any items marked on this ISIR. After making all necessary corrections, you must return all documentation to your school.				Y
051	You did not provide the complete Social Security number and name for your parent(s).				Y
052	Your answer to "Drug Conviction Affecting Eligibility?" has changed since you filed your initial application.				Y
053	You left "Drug Conviction Affecting Eligibility?" blank. Your failure to provide an answer to this question makes you ineligible to receive Title IV aid. Either indicate that you have never been convicted of possessing or selling illegal drugs or use the enclosed worksheet to determine your answer to this question. In any case, you can correct this item by calling 1-800-4FED-AID (1-800-433-3243) or by going to **fafsa.ed.gov**. You can also see your Financial Aid Administrator for assistance. Please understand that a drug conviction does not necessarily disqualify you from receiving student aid. **Resolution required.** Applicant is not eligible for federal aid if this response is left blank. A correction to provide a response must be made by following the directions provided in the comment text.		Y		Y
054	You reported a '2' in response to "Drug Conviction Affecting Eligibility?". This indicates that you are ineligible for federal student aid for part of the 2002-2003 school year. Your period of ineligibility resulting from your drug-related conviction(s) ends on or after July 1, 2002 but before June 30, 2003. You should contact your Financial Aid Administrator when your ineligibility period ends so that he or she can determine if you may receive federal funds during the 2002-2003 award year. **Resolution required.** Applicant is not eligible for federal aid until ineligibility period expires between July 1, 2002 and June 30, 2003.		Y		Y
055	Your denial of benefits under the Anti-Drug Abuse Act of 1988 has been resolved and processing of your student aid application may continue.				Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
056	You reported in "Drug Conviction Affecting Eligibility?" that you have been convicted of an illegal drug offense. If you determine that your conviction(s) do not affect your eligibility for federal student aid, or affect it for only part of the 2002-2003 school year, you must correct "Drug Conviction Affecting Eligibility?" by using this report. You can also correct this item or get additional help with this question by calling 1-800-4FEDAID (1-800-433-3243). YOU ARE NOT ELIGIBLE FOR FEDERAL STUDENT AID WHILE YOUR ANSWER TO "DRUG CONVICTION ELIGIBILITY" IS '3'. Whether or not your conviction(s) affect your eligibility for federal student aid, you may still be eligible to receive state, school, or other non-federal student aid. **Resolution required.** Applicant is not eligible for federal aid. If response is incorrect, applicant should follow directions in the comment text to make a change. Applicant should not be referred to any other phone numbers at the Department of Education for resolution.		Y		Y
057	Selective Service did not register you because you did not answer "Yes" to "Are You Male?." If you want to register, answer "Yes" to BOTH "Are You Male?" and "Register for Selective Service?" on this ISIR, complete a Selective Service registration form at your local post office, or register on-line at **www.sss.gov**. **Resolution required.**		Y		Y
058	You reported in "Drug Conviction Affecting Eligibility?" that you are not eligible for federal student aid as a result of a drug-related conviction, or that you do not know if your conviction(s) affect your eligibility. You may still be eligible to receive state, school, or other non-federal student aid. If you determine that you have incorrectly answered this question, you must correct "Drug Conviction Affecting Eligibility?" by using this report. You can also correct this item or get help with this question by calling 1-800-4FED-AID (1-800-433-3243). **Resolution required.** Applicant is not eligible for federal aid. If response is incorrect, applicant should follow directions in the comment text to make a change. Applicant should not be referred to any other phone numbers at the Department of Education for resolution.		Y		Y
059	The Social Security Administration could not determine if the Social Security number you reported belongs to you because you did not give us your last name, date of birth or signature. Review these items and make the necessary corrections.				Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
060	The date of birth you reported on your application doesn't match the Social Security Administration's records. If the date of birth you reported is correct, contact SSA. If it is incorrect, you should make corrections on this ISIR. **Resolution required.** Student may provide documentation that explains the discrepancy with the date of birth. If the student's date of birth is correct, the student must contact SSA. Once SSA corrects its records, the student may reenter the date of birth and submit it as a SAR/ISIR correction. Records sent for rematching will continue to receive this match flag until SSA updates its database. If the date of birth is incorrect, the student may correct the date of birth on SAR/ISIR. If a correction is made to date of birth, SSN, first name, or last name, the record will be sent again for matching. Review subsequent transactions for updated match flag.	2	Y		Y
061	The name you reported on your application doesn't match the Social Security Administration's records. If the name you reported is correct, contact SSA. If it is incorrect, you should make corrections on this ISIR. **Resolution required.** Student may provide documentation explaining discrepancy in name (e.g., marriage certificate, court order, etc.). If the student's name is correct, the student may wish to contact SSA. Once SSA corrects its records, the student may reenter the name and submit it as a SAR/ISIR correction. Records sent for rematching will continue to receive this match flag until SSA updates its database. If the name is incorrect, the student may correct the name on SAR/ISIR. If a correction is made to date of birth, SSN, first name, or last name, the record will be sent again for matching. Review subsequent transactions for updated match flag .	3	Y		Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
062	The Social Security Administration could not confirm your claim of U.S. citizenship because of questions about your Social Security number, name, or date of birth. **Resolution required.** Help student make corrections to Social Security number, name, or date of birth if necessary so that the student's record can be sent back to SSA for matching. Review subsequent transactions for updated match flag. Note that if the SSN was incorrect, the student may correct the SSN on the SAR/ISIR. If this is done, the student's original SAR ID will not change, but the current SSN reported in field 8 will be changed to reflect the corrected SSN. Alternatively, the applicant may file a new FAFSA under the correct SSN. This FAFSA will be treated as an original application and will be sent through all of the matches as if another FAFSA was never completed. The SAR ID will be the same as the SSN reported on this application. If the student believes the information reported on the application is correct, student should contact the SSA. Obtain documentation from the student that clearly proves that the student is either a citizen or eligible noncitizen.	N			Y
063	As we indicated on your previous ISIR, the date of birth you reported on your application is inconsistent with the Social Security Administration's records. If the date of birth you reported is correct, contact SSA. If it is incorrect, you should make corrections on this ISIR. **Resolution required.**		Y		Y
064	As we indicated on your previous ISIR, the name you reported on your application does not correspond with the Social Security number you provided. If the name you reported is correct, contact SSA. If it is incorrect, you should make corrections on this ISIR. **Resolution required.**		Y		Y
065	To resolve your FSEOG overpayment, call the U.S. Department of Education at 1-800-621-3115, or write to the U.S. Department of Education P.O. Box 4222, Iowa City, Iowa 52245. **Resolution required.**	3	Y		Y
066	To resolve your FSEOG overpayment, call the U.S. Department of Education at 1-800-621-3115, or write to the U.S. Department of Education, P.O. Box 4222, Iowa City, Iowa 52245. **Resolution required.**	3	Y		Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
067	To resolve your FSEOG overpayment, call the U.S. Department of Education at 1-800-621-3115, or write to the U.S. Department of Education, P.O. Box 4222, Iowa City, Iowa 52245. **Resolution required.**	3	Y		Y
068	You did not indicate on your application that you are a U.S. citizen or an eligible noncitizen. To be eligible to receive federal student aid, a student must be -- (1) A U.S. citizen (or U.S. National), or (2) An eligible noncitizen, such as a U.S. permanent resident or a resident of certain Pacific Islands, or as determined by the Department of Education.			17	Y
069	Review your date of birth and either confirm the date you have reported or make the necessary corrections.			A	Y
070	You reported that you will either have a bachelor's degree by July 1, 2002 or you will be working on a degree beyond a bachelor's degree. Graduate students are eligible for most types of federal aid, but generally not the Federal Pell Grant.				Y
071	You did not indicate whether you will have a bachelor's degree by July 1, 2002 or if you will be working on a degree beyond a bachelor's degree.				Y
072	Review your date of birth and either confirm the date you have reported or make the necessary corrections.			B	Y
073	You did not tell us your state of legal residence. We assumed that it is the same as your mailing state (or your parents' state if you are a dependent student).				Y
074	The date you reported for marital status does not appear to be correct.				Y
075	You must report your marital status as of the date that you signed your original application. You should not update this item if your marital status changed after you signed and submitted your application.				Y
076	Social Security Administration (SSA) records indicate that the Social Security number (SSN) you provided belongs to you but also belongs to a deceased person. If the SSN you reported is correct, you must contact an SSA office to resolve this problem.			8	Y
077	To resolve your FSEOG overpayment, your FAA must contact the school associated with the FSEOG overpayment. **Resolution required.**	3	Y		Y
078	The U.S. Department of Education granted permission to process your application after the July 1, 2003 deadline.				Y
079	To resolve your FSEOG overpayments, your Financial Aid Administrator must access NSLDS for additional FSEOG overpayment information. **Resolution required.**	3	Y		Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
080	We recently received a student aid application with an incomplete name from this address. The applicant should review the ISIR and provide his or her full name. If the applicant does not have both a first and a last name, contact your FAA for assistance.			N	Y
081	Social Security Administration records indicate that you are incarcerated in a local prison facility. This may affect your eligibility for federal student aid. **Resolution required.** A student incarcerated in a local prison facility is not eligible to borrow under any Federal loan programs. If the student is not incarcerated, the student can contest the match with the Social Security Administration—Office of Program Benefits either within 30 days after the student receives the SA R and discusses the match with the institution or within 30 days after the receipt of the ISIR by the institution. The student can self-certify to the FAA at the institution that he or she is not incarcerated in a local prison facility.	1	Y		Y
082	We recently received a student aid application with no name from this address. The applicant must provide a full name on this ISIR			13	Y
083	Social Security Administration records indicate that you are incarcerated in a state or federal prison facility. Your incarceration may affect your eligibility for federal student aid. **Resolution required.** A student incarcerated in a state or federal prison facility is not eligible for aid under the Federal Pell Grant, FFEL, Direct Loan, or Perkins Loan programs. If the student is not incarcerated, the student can contest the match with the Social Security Administration—Office of Program Benefits either within 30 days after the student receives the SAR and discusses the match with the institution or within 30 days after the receipt of the ISIR by the institution. The student can self-certify to the FAA at the institution that he or she is not incarcerated in a state or federal prison facility.	2	Y		Y
084	We could not match your information with the Social Security Administration because you did not give us your last name, date of birth or signature. Review these items and make the necessary corrections.				Y
085	We assumed your parent(s) did or will file a 2001 income tax return.				Y
086	To resolve your Perkins overpayment, your Financial Aid Administrator must access NSLDS for additional Perkins overpayment information. **Resolution required.**	3	Y		Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
087	We assumed your parent(s) did not and will not file a 2001 income tax return.				Y
088	No comment text printed. Satisfactory repayment on Perkins overpayment. ISIR Field/Value: Perkins Overpayment Flag (Pos. 1602) = S; Perkins Contact Code (Pos. 1603) = numeric and not 04, 05, or 09				N
089	Review your parents' marital status. If your parents are not married, provide the income for only the parent(s) who support(s) you.			11	Y
090	To resolve your Perkins overpayment, your Financial Aid Administrator must contact the school associated with the Perkins overpayment. **Resolution required.**	3	Y		Y
091	No comment text printed. Satisfactory repayment on Perkins overpayment. ISIR Field/Value: Perkins Overpayment Flag (Pos. 1602) = S; Perkins Contact Code (Pos. 1603) = 04				N
092	No comment text printed. Satisfactory repayment on Perkins overpayment. ISIR Field/Value: Perkins Overpayment Flag (Pos. 1602) = S; Perkins Contact Code (Pos. 1603) = 05				N
093	No comment text printed. Satisfactory repayment on Perkins overpayment. ISIR Field/Value: Perkins Overpayment Flag (Pos. 1602) = S; Perkins Contact Code (Pos. 1603) = 09				N
094	It appears you reported the same income value for more than one income question.				Y
095	We assumed you did/will file a 2001 U.S. income tax return.				Y
096	No comment text printed. Satisfactory repayment on Perkins overpayment. ISIR Field/Value: Perkins Overpayment Flag (Pos. 1602) = S; Perkins Contact Code (Pos. 1603) = Y				N
097	We assumed you did not and will not file a 2001 U.S. income tax return.				Y
098	No comment text printed. Satisfactory repayment on Perkins overpayment. ISIR Field/Value: Perkins Overpayment Flag (Pos. 1602) = S; Perkins Contact Code (Pos. 1603) = blank				N
099	Review your marital status. You should report income for a spouse only if you were married as of the date you submitted your application. **Resolution required.**			11	Y
100	To resolve your Perkins overpayment, call the U.S. Department of Education at 1-800-621-3115, or write to the U.S. Department of Education, P.O. Box 4222, Iowa City, Iowa 52245. **Resolution required.**	3	Y		Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
101	To resolve your Perkins overpayment, call the U.S. Department of Education at 1-800-621-3115, or write to the U.S. Department of Education, P.O. Box 4222, Iowa City, Iowa 52245. **Resolution required.**	3	Y		Y
102	To resolve your Perkins overpayment, call the U.S. Department of Education at 1-800-621-3115, or write to the U.S. Department of Education, P.O. Box 4222, Iowa City, Iowa 52245 **Resolution required.**	3	Y		Y
103	We could not find one or more of the schools you listed in our eligible school file. To receive federal student aid, you must attend a school that participates in the federal student aid programs.				Y
104	ATTENTION: You did not list any schools or the schools you listed are not in our eligible school file. To receive federal student aid, you must attend a school that participates in the federal student aid programs.				Y
105	This ISIR has been produced due to information we received from the Immigration and Naturalization Service (INS) regarding your citizenship status. The INS has not yet confirmed your statement that you are an eligible noncitizen. You must submit proof of your noncitizen eligibility to your school. If you fail to submit proof to your school within 30 days, or longer if your school allows, you may not be eligible for federal student aid. **Resolution required.** School is encouraged, but not required, to wait ten business days for another systems generated ISIR with updated secondary confirmation match flag before beginning mandatory paper (G845) secondary confirmation process.	C	Y		Y
106	You have corrected information on your ISIR more than 10 times. Before sending in another correction, contact your Financial Aid Administrator for assistance.				Y
107	To resolve your Perkins overpayments, your Financial Aid Administrator must access NSLDS for additional Perkins overpayment information. **Resolution required.**	3	Y		Y
108	Your parent did not sign your application or the corrections you submitted. If your parent is not able to sign, see your Financial Aid Administrator or High School Counselor.			15	Y

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Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
109	This ISIR has been produced due to information we received from the Immigration and Naturalization Service (INS) regarding your citizenship status. The INS did not have enough information to confirm your statement that you are an eligible noncitizen. You must contact the Financial Aid Administrator at your school to find out what information is needed. If you fail to submit the required information within 30 days, or longer if your school allows, you may not be eligible for federal student aid. **Resolution required.** Must begin paper (G845) secondary confirmation process.	X	Y		Y
110	We have not received the signature page from your FAFSA Express or FAFSA on the Web application or correction. We must have your signature before we can determine your eligibility for federal student aid.			16	Y
111	The amount you reported for taxes paid by your parent(s) is equal to the amount you reported for their adjusted gross income. Review these items and make the necessary corrections.			C	Y
112	Based on the information we have on record for you, your EFC is____. Your school will use this number to determine what types of aid and how much you are eligible for. You are not eligible for a Federal Pell Grant but you may be eligible for other aid.				Y
113	We assumed the value for number in college based on your parents' marital status and number of family members. Your parents should not be included in the number in college.				Y
114	The amount you reported for your taxes paid is equal to the amount you reported for your adjusted gross income. Review these items and make the necessary corrections.			C	Y
115	The National Student Loan Data System (NSLDS) indicates you have one or more student loans discharged because of a total and permanent disability. Before you can receive additional federal student loans, you must see your Financial Aid Administrator. **Resolution required.** See Chapter 10 of the 2000–2001 Federal Student Financial Aid Handbook for additional information. Resolution depends on when the discharge was granted. Schools must check the effective date of the discharge in NSLDS and take the action described in the SFA Handbook and other information provided by ED.		Y		Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
116	The National Student Loan Data System (NSLDS) indicates you have one or more student loans in an active bankruptcy status. Before you can receive any additional federal student loans, you must see your Financial Aid Administrator. **Resolution required**. See the September 1995 Dear Colleague letter GEN-95-40 and Chapter 10 of the 2000–2001 Federal Student Financial Aid Handbook for additional information.		Y		Y
117	We assumed certain information to calculate your eligibility for federal student aid. We printed an asterisk (*) next to the items containing assumed information. If our assumptions are correct, do not change them. If they are incorrect, you should make corrections on this ISIR.				Y
118	Be sure to review the items marked with an "h" or an "*" on your ISIR and make corrections if necessary.				Y
119	No comment text printed. Rejected, transaction number 03 through 10. ISIR Field/Value: Dependency Status (Pos. 537) = X or Y; Transaction Number (Pos. 14) = 03-10				N
120	This ISIR has been produced due to information we received from the Immigration and Naturalization Service (INS) regarding your citizenship status. Your citizenship status has been confirmed by the INS and you meet the citizenship requirements for federal student aid.				Y
121	No comment text printed. Reject B override set by applicant. ISIR Field/Value: Reject B Override (Pos. 528) = 1			B	N
122	No comment text printed. Dependent, reject W override set by applicant. ISIR Field/Value: Reject W Override (Pos. 530) = 1; Dependency Status (Pos. 537) = D or X				N
123	No comment text printed. Independent, reject W override set by applicant. ISIR Field/Value: Reject W Override (Pos. 530) = 1; Dependency Status (Pos. 537) = I or Y				N
124	Contact the following agency(ies) regarding your defaulted federal student loan: **Resolution required.** Depending on loan status, student may need to contact GA, DLS, or EDR and make satisfactory arrangements to repay loan. If student has already repaid loan, obtain documentation that the loan identified as being in default is the loan that was paid off by the student. See attached list of loan status codes and information on student eligibility.	2	Y		Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
125	If you want to be considered for a Federal Pell Grant, your Financial Aid Administrator must receive your ISIR by August 15, 2003, or your last day of enrollment, whichever comes first. Other student aid programs have different deadlines.				Y
126	No comment text printed. NSLDS Satisfactory Repayment flag set. ISIR Field/Value: NSLDS Satisfactory Repayment Flag (Pos. 1613) = Y				N
127	It may be too late to submit any corrections to your ISIR. If you want to be considered for a Federal Pell Grant, your school must receive a complete, correct ISIR no later than August 15, 2003, or your last day of enrollment, whichever comes first. Other student aid programs have different deadlines. Under certain circumstances, students selected for verification have an additional 60 days from their last day of enrollment, but no later than August 15, 2003, to submit corrections.				Y
128	It may be too late for you to make corrections or give us any more information for this year. Your school must have your corrected ISIR no later than August 15, 2003.				Y
129	You must provide your parent(s) income information in Step Four.			2	Y
130	You must provide your income information in Step Two.			2	Y
131	No comment text printed. NSLDS match not completed. ISIR Field/Value: NSLDS Match Flag (Pos. 669) = 8				N
132	The National Student Loan Data System (NSLDS) indicates that you are in DEFAULT on a federal student loan. You are not eligible to receive any federal student aid until your default has been resolved. **Resolution required.** Depending on loan status, student may need to contact GA, DLS, EDR, or ED and make satisfactory arrangements to repay loan. If student has already repaid loan, obtain documentation that the loan identified as being in default is the loan that was paid off by the student. See attached list of loan status codes and information on student eligibility.	2	Y		Y
133	The National Student Loan Data System (NSLDS) indicates that you received at least one overpayment of federal student aid funds. You are required by law to repay any funds received from the federal student aid programs to which you were not entitled. You are not eligible to receive any federal student aid until your overpayment has been resolved. **Resolution required.**	3	Y		Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
134	The National Student Loan Data System (NSLDS) indicates that you are in DEFAULT on at least one federal student loan and that you received at least one overpayment of federal student aid funds. You are not eligible to receive any federal student aid until these items have been resolved. **Resolution required.** See resolution for match flags 2 and 3 above.	4	Y		Y
135	To resolve your defaulted federal student loan(s), contact the lender associated with the loan. **Resolution required.**	2	Y		Y
136	To resolve your defaulted federal student loan(s), contact the school associated with the loan. **Resolution required.**	2	Y		Y
137	No comment text printed. No relevant information found on NSLDS database ISIR Field/Value: NSLDS Database Results Flag (Pos. 1582) = 4				N
138	The National Student Loan Data System (NSLDS) found your reported Social Security number on their database, but your name and date of birth did not match. Therefore this ISIR does not contain the financial aid history that is associated with your reported SSN. **Resolution required.** Determine if the NSLDS record is that of the applicant, by accessing NSLDS online using SSN only to retrieve the matching data. This will help determine whether that SSN belongs to the student being assisted. This method will reveal which data provider supplied the conflicting SSN information. This provider may then be contacted directly to resolve the discrepancy. There is no need to wait for NSLDS to be updated before continuing the award process. If the record belongs to the student, use the information in NSLDS to determine eligibility for SFA funds.	7	Y		Y
139	Not used.				
140	No comment text printed. No record found on NSLDS database. ISIR Field/Value: NSLDS Database Results Flag (Pos. 1582) = 3				N
141	You changed your response to citizenship or you changed the Alien Registration Number verified with INS. You must submit proof of your citizenship status to your Financial Aid Administrator. **Resolution required.** Determine why student changed citizenship status and resolve any conflicting information. Student may need to submit proof of citizenship depending on reason for change.	blank*	Y		Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
142	The Immigration and Naturalization Service (INS) could not confirm your statement that you are an eligible noncitizen because there is a question about your Alien Registration Number. You must submit proof of your noncitizen eligibility to your school. If you fail to submit proof within 30 days, or longer if your school allows, you may not be eligible for federal student aid. **Resolution required.** If student failed to provide Alien Registration Number or provided an invalid Alien Registration Number, *do not perform secondary confirmation*. Instead, help student make corrections to the SAR/ISIR and resubmit for processing. If student provides adequate information to conduct match, record will be sent back to INS for matching. Review match flags on subsequent transactions for updated match flag.	blank*	Y		Y
143	Your citizenship status has been confirmed by the Immigration and Naturalization Service (INS) and you meet the citizenship requirements for federal student aid.				Y
144	The Immigration and Naturalization Service (INS) has not yet confirmed your statement that you are an eligible noncitizen. INS will continue to check their records and we will notify you when we have received more information from them. **Resolution required.** See match flag on Secondary Confirmation. INS will conduct the Secondary Confirmation process based on applicant identifier and Primary Verification information only. Next steps will depend on results from Secondary Confirmation match results.	N	Y		Y
145	According to Social Security Administration (SSA) records, the Social Security number you provided belongs to a deceased person. If the SSN you reported is correct, you must contact an SSA office to resolve this problem.			8	Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
146	The Social Security Administration (SSA) did not confirm that you are a U.S. citizen. You need to provide your school with documentation of your citizenship status before you can receive federal student aid. **Resolution required.** If student is a U.S. citizen, student should provide birth certificate, passport, or other documents that definitively prove citizenship. Voter registration cards are not adequate proof of citizenship since many localities do not require proof of citizenship. If student is an eligible noncitizen, student should correct Item 13 to indicate that the student is an eligible noncitizen and Item 14 to indicate a valid Alien Registration Number. If student already provided citizenship and alien registration number on the FAFSA or SAR, determine if student was sent to INS for matching. If student was successfully matched with the INS as being an eligible noncitizen, we will suppress comment 146 and no further resolution is necessary. **Note:** A match flag of * (asterisk) generally indicates that the student was born in a foreign country to American parents that were stationed in another country (e.g., military, State Department, or Foreign Service). These students generally have a birth certificate indicating that they are U.S. citizens that were born abroad. The SSA does not automatically update this flag and the financial aid administrator should document the information in the student's record.	B, C, D, E, F, or *	Y		Y
147	Not used.				
148	We assumed the number in college should be one. Your parents should not be included.				Y
149	Based on the information we have on record for you, your EFC is . Your school will use this number to determine what types of aid and how much you are eligible for. You may be eligible to receive a Federal Pell Grant and other federal student aid.				Y
150	You must provide asset information for you in Step Two and for your parent(s) in Step Four.			1	Y
151	You must provide your asset information in Step Two.			1	Y
152	Not used.				

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Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
153	No comment text printed. Dependency change on history correction ISIR Field/Value: Dependency status on the transaction identified in Pos. 599 compared to Dependency status in Pos. 537				N
154	The amount you reported for taxes paid by your parent(s) appears to be over the allowable amount based on what you reported for their adjusted gross income. Resolution:				Y
155	The amount you reported for your taxes paid appears to be over the allowable amount based on what you reported for your adjusted gross income.				Y
156	If your parents have now filed their 2001 tax return, correct this ISIR to reflect the information as reported on their tax return. If your parents still haven't filed, notify your Financial Aid Administrator once they file.				Y
157	If you have now filed your 2001 tax return, correct this ISIR to reflect the information as reported on your tax return. If you still haven't filed, notify your Financial Aid Administrator once you file.				Y
158	You are not eligible to receive a Federal Pell Grant because you reported that you have a bachelor's degree or you are working on a degree beyond a bachelor's degree, or both. Your Financial Aid Administrator will determine what types of federal student aid you are eligible to receive.				Y
159	You MAY not be eligible to receive a Federal Pell Grant because you reported that you have a bachelor's degree or you are working on a degree beyond a bachelor's degree, or both. Your Financial Aid Administrator will determine what types of federal student aid you are eligible to receive.				Y
160	You did not sign your application or correction. You must sign and return this ISIR before we can determine your eligibility for federal student aid.			14	Y
161	We could not match your information with the Department of Veterans Affairs (VA) because you did not give us your full name, date of birth or signature. You should review and correct these items on your ISIR.				Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
162	The Department of Veterans Affairs (VA) did not confirm that you are or will be a qualifying veteran for purposes of receiving federal student aid for the 2002-2003 school year. If VA is correct, you must provide your parents' information (including signature) on this ISIR if you have not already done so. If you believe you are or will be a qualifying veteran, contact a VA office to resolve this problem. **Resolution required.** In this situation, CPS assumes No to the Veteran Status question. The student does not qualify for Independent status if the response to this question remains No, so it is possible that parents' data and signature were not provided. If this is the case, Reject 15 or Reject 2 would also be present on the SAR/ISIR. If the student believes the match results are in error, the student should contact a regional VA office to have VA records updated. The student will then need to correct the VA status question to Yes, which will generate a history correction that will be sent to VA for rematching. While the student is resolving the discrepancy with the VA, the financial aid administrator may collect documentation from the applicant that clearly demonstrates that he or she is a veteran of the U.S. Armed Forces. The student may provide the DD214 form showing that "Character of Service" is other than "dishonorable." However, until the information is corrected in the VA database, the match results will not change. If the documentation confirms that the student is a veteran, the financial aid administrator may perform a dependency override, changing the student's dependency status from dependent to independent. Title IV aid may then be disbursed to the student.	2	Y		Y
163	The Department of Veterans Affairs (VA) did not confirm that you are or will be a qualifying veteran for the 2002-2003 school year. If VA is not correct, you should contact a VA office to resolve this problem.				Y
164	No comment text printed. Dependency Override code set to 1. ISIR Field/Value: Dependency Override (Pos. 475) = 1				N
165	No comment text printed. Dependency Override code set to 2 (cancelled). ISIR Field/Value: Dependency Override (Pos. 475) = 2				N
166	It appears that the Social Security number you reported on your application for your father is not valid.				Y

157

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
167	It appears that the Social Security number you reported on your application for your mother is not valid.				Y
168	You must provide answers for your parents' marital status and number of family members.			10	Y
169	You must provide answers for your marital status and number of family members.			10	Y
170	Your school will ask you to provide copies of certain financial documents for you and your parent(s).				Y
171	Your school will ask you to provide copies of certain financial documents for you (and your spouse).				Y
172	This Institutional Student Information Record (ISIR) was produced because of a processing change, and updates your previous ISIR.				Y
173	The Department of Veterans Affairs (VA) did not confirm that you are or will be a qualifying veteran for purposes of receiving federal student aid for the 2002-2003 school year. If VA is correct, you must provide your parents' information (including signature) on this ISIR if you have not already done so. If you believe you are or will be a qualifying veteran, contact a VA office to resolve this problem **Resolution required.** In this situation, CPS assumes No to this question. The student does not qualify for Independent status if the response to this question remains No, so it is possible that parents' data and signature were not provided. If this is the case, Reject 15 or Reject 2 would also be present on the SAR/ISIR. If the student believes the match results are in error, the student may provide the DD214 form (military separation form). However, it is likely that the military branch or Department of Defense has not sent the data to VA. The student should contact a regional VA office to have VA records updated. The student will then need to correct the VA status question to Yes which will generate a history correction that will be sent to VA for rematching. Until the information is corrected in the VA database, the match results will not change. While the student is resolving the discrepancy with the VA, the financial aid administrator may collect the DD214 from the applicant that clearly demonstrates that he or she is a veteran of the U.S. Armed Forces. If the documentation confirms that the student is a veteran, the financial aid administrator may perform a dependency override, changing the student's dependency status from dependent to independent. Title IV aid may then be disbursed to the student.	3	Y		Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
174	The Department of Veterans Affairs (VA) did not confirm that you are or will be a qualifying veteran for the 2002-2003 school year. If VA is not correct, you should contact a VA office to resolve this problem.				Y
175	You reported that you are married and have dependents other than a spouse, but that your number of family members is 2. These answers are inconsistent.				Y
176	You reported that you do not have children or other legal dependents, but that your number of family members is greater than 2. These answers are inconsistent.				Y
177	You reported that you are not married and do not have children or other legal dependents, but that your number of family members is 2. These answers are inconsistent.				Y
178	Review the number of family members you have reported for your parent(s) and either confirm your answer or make the necessary corrections.			W	Y
179	Review the number of family members you have reported and either confirm your answer or make the necessary corrections.			W	Y
180	The Department of Veterans Affairs (VA) has confirmed that you are currently serving in the U.S. Armed Forces. You indicated on your application that you will be released from active duty by June 30, 2003. You must provide documentation of this to your financial Aid Administrator before you can receive federal student aid. **Resolution required.** Student must provide documentation to the school that shows upcoming release orders from a military branch, typically in memorandum format or letter, stating intent to release. There is no requirement to reconfirm actual separation during the award year.	4	Y		Y
181	Debt Collection Service, 1-800-621-3115. (GA 611)				Y
182	Debt Collection Service, 1-800-621-3115. (GA 620)				Y
183	Debt Collection Service, 1-800-621-3115. (GA 627)				Y
184	Debt Collection Service, 1-800-621-3115. (GA 631)				Y
185	Debt Collection Service, 1-800-621-3115. (GA 654)				Y
186	Debt Collection Service, 1-800-621-3115. (GA 656)				Y
187	Debt Collection Service, 1-800-621-3115. (GA 701)				Y
188	United Student Aid Funds, Alaska Claims Assistance, 1-800-331-2314. (GA 702)				Y
189	Student Loan Foundation of Arkansas, Collections, 1-800-622-3446. (GA 705)				Y
190	California Student Aid Commission, 1-800-367-1589. (GA 706)				Y
191	Colorado Guaranteed Student Loan Program, 303-305-3000. (GA 708)				Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
192	Connecticut Student Loan Foundation, Collections, 1-800-237-9721 or 860-257-4001. (GA 709)				Y
193	Debt Collection Service, 1-800-621-3115. (GA 710)				Y
194	Debt Collection Service, 1-800-621-3115. (GA 711)				Y
195	Florida Department of Education, Defaulted Borrowers Assistance, 1-800-366-3475 or 850-410-5200. (GA 712)				Y
196	Georgia Student Finance Commission, Collections, 1-800-776-6878 or 770-724-9000. (GA 713)				Y
197	Northwest Education Loan Association, Collection Office, 1-800-552-0686. (GA 716)				Y
198	Illinois Student Assistance Commission, Claims and Collections, 1-800-934-3572 or 847-948-8500. (GA 717)				Y
199	United Student Aid Funds, Indiana Claims Assistance, 1-800-331-2314. (GA 718)				Y
200	Iowa College Aid Commission, Claims Dept., 1-800-383-4222 or 515-242-3344. (GA 719)				Y
201	Kentucky Higher Education Assistance Authority, Collections Office, 1-800-928-8926 or 502-696-7281. (GA 721)				Y
202	Louisiana Office of Student Financial Assistance, 1-800-256-6882 or 1-800-259-5626. (GA 722)				Y
203	United Student Aid Funds, Maine Claims Assistance, 1-800-331-2314 or 317-849-6510. (GA 723)				Y
204	United Student Aid Funds, Maryland Claims Assistance, 1-800-331-2314. (GA 724)				Y
205	American Student Assistance, Collections, 1-800-999-9080 or 617-426-9434. (GA 725)				Y
206	Michigan Higher Education Assistance Authority, Collections, 1-800-642-5626 or 517-373-0760. (GA 726)				Y
207	Great Lakes Higher Education Corporation, 1-800-354-6980. (GA 727)				Y
208	Debt Collection Service, 1-800-621-3115. (GA 728)				Y
209	Missouri Default Collection Services, BTI Services, 1-800-824-4893, Ext. 1. (GA 729)				Y
210	Montana Guaranteed Student Loan Program, Claims Management, 1-800-537-7508 or 406-444-0395. (GA 730)				Y
211	National Student Loan Program (NSLP), Collection Office, 1-800-735-8778, Ext. 6380 or 402-479-6800. (GA 731)				Y
212	United Student Aid Funds, Nevada Claims Assistance, 1-800-331-2314. (GA 732)				Y
213	New Hampshire Higher Education Assistance Foundation, Claims Section, 1-800-525-2577 or 603-225-6612. (GA 733)				Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
214	New Jersey Higher Education Assistance Authority, 1-800-792-8670. (GA 734)				Y
215	New Mexico Educational Assistance Foundation, 1-800-279-5063 or 505-345-3371. (GA 735)				Y
216	New York State Higher Education Service, Office of Default, 1-800-666-0991. (GA 736)				Y
217	North Carolina State Education Assistance Authority, Collections, 1-800-544-1644. (GA 737)				Y
218	North Dakota Post Claims Collections, 1-800-472-2166, Ext. 5662 or 701-328-5662. (GA 738)				Y
219	Debt Collection Service, 1-800-621-3115. (GA 739)				Y
220	Oklahoma Guaranteed Student Loan Program, Collection Office, 1-800-522-8022 or 405-858-4375. (GA 740)				Y
221	Oregon State Scholarship Commission, Collection Office, 1-800-457-0135 (GA 741)				Y
222	Pennsylvania Higher Education Assistance Agency, 1-800-233-0751 (GA 742).				Y
223	Rhode Island Higher Education Assistance Authority, 1-800-922-9855 or 401-736-1100. (GA 744)				Y
224	South Carolina State Education Assistance Authority, Collections, 1-800-347-2752 or 803-798-0916. (GA 745)				Y
225	Education Assistance Corporation, 1-800-874-8982 or 605-622-4347. (GA 746)				Y
226	Tennessee Default Collection Services, BTI Services, 1-800-257-6528, Ext. 1. (GA 747)				Y
227	Texas Guaranteed Student Loan Corp., Collections, 1-800-252-9743 or 512-219-7337. (GA 748)				Y
228	Utah Higher Education Assistance Agency, 801-321-7200 or 1-800-418-8757. (GA 749)				Y
229	Vermont Student Assistance Corp., 1-800-642-3177 or 802-655-9602, Ext. 278. (GA 750)				Y
230	Debt Collection Service, 1-800-621-3115 (GA 751)				Y
231	Northwest Education Loan Association, Collection Office, 1-800-552-0686. (GA 753)				Y
232	Great Lakes Higher Education Corporation, 1-800-354-6980. (GA 755)				Y
233	Debt Collection Service, 1-800-621-3115. (GA 772)				Y
234	Debt Collection Service, 1-800-621-3115. (GA 778)				Y
235	United Student Aid Funds, Post Claims Assistance, 1-800-331-2314. (GA 800)				Y
236	United Student Aid Funds, Arizona Claims Assistance, 1-800-331-2314. (GA 804)				Y
237	United Student Aid Funds, Hawaii Claims Assistance, 1-800-331-2314. (GA 815)				Y
238	Educational Credit Management Corporation, 651-221-0566. (GA 927)				Y

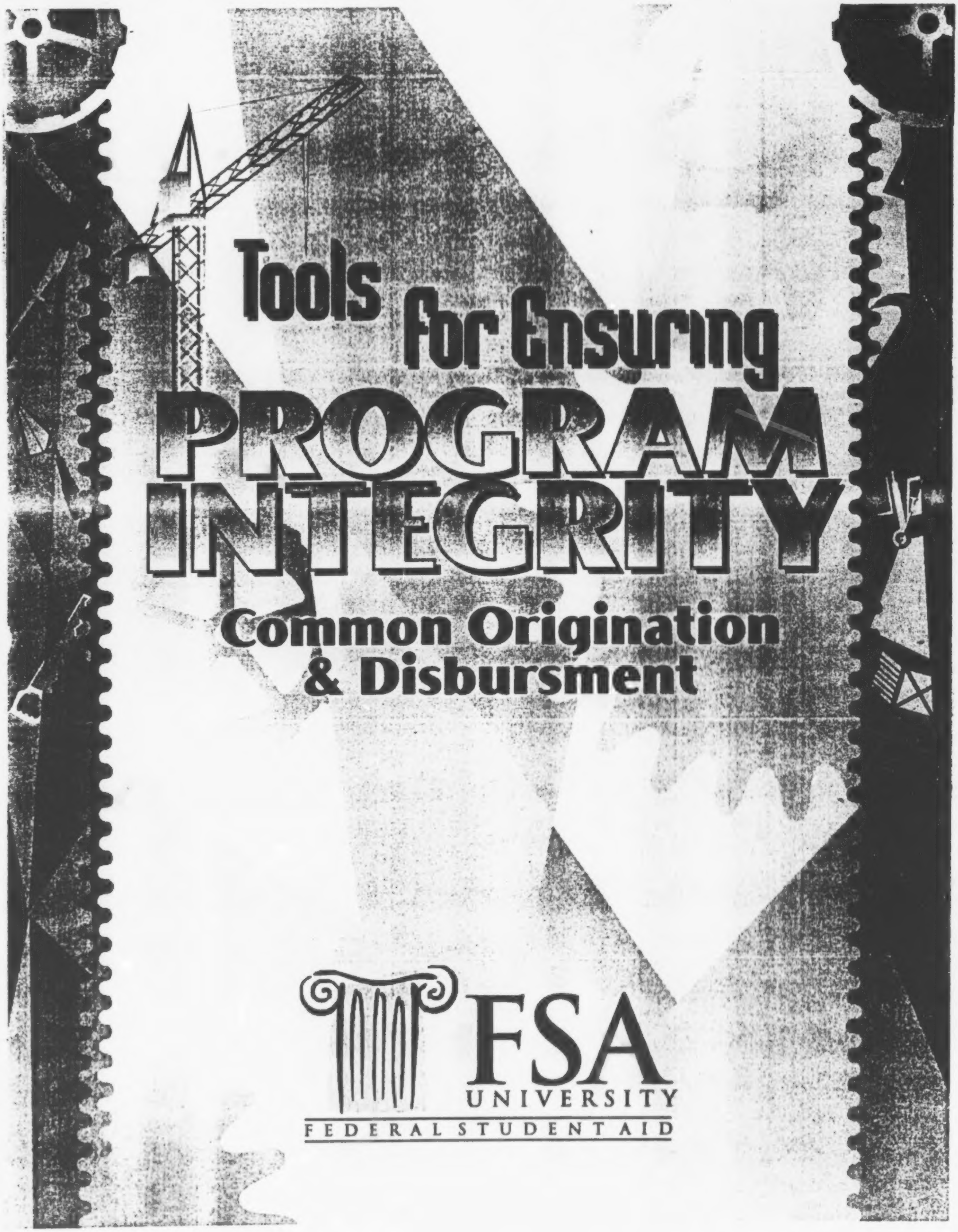
Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
239	Educational Credit Management Corporation, 651-221-0566. (GA 951)				Y
240	Not used.				
241	Not used.				
242	Not used.				
243	Not used.				
244	Not used.				
245	Direct Loan Servicing Center, Utica, NY, 1-800-848-0979. (00100)				Y
246	Not used.				
247	Not used.				
248	Not used.				
249	Not used.				
250	Not used.				
251	Call the U.S. Department of Education at 1-800-621-3115, or write to the U.S. Department of Education, P.O. Box 4222, Iowa City, Iowa 52245. (EDR 04)				Y
252	Call the U.S. Department of Education at 1-800-621-3115, or write to the U.S. Department of Education, P.O. Box 4222, Iowa City, Iowa 52245. (EDR 05)				Y
253	Call the U.S. Department of Education at 1-800-621-3115, or write to the U.S. Department of Education, P.O. Box 4222, Iowa City, Iowa 52245. (EDR 09)				Y
254	Based upon data provided by the National Student Loan Data System (NSLDS) and your reported grade level, we have determined that you may have received subsidized student loans in excess of loan limits established for the federal loan programs. **Resolution required**. In general, students who borrow in excess of aggregate loan limits are ineligible to receive further Title IV assistance; however, if the school determines that the student inadvertently borrowed in excess of the limits, the student may regain eligibility by either repaying the amount borrowed in excess of the aggregate limits, or making repayment arrangements for the excess amount that are satisfactory to the holder of the loan. Refer to Section 668.35(b)(1) of the Federal Student Financial Aid Regulations and Dear Colleague Letter GEN 96-13, Q&A #17 for additional information.		Y		Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
255	Based upon data provided by the National Student Loan Data System (NSLDS) and your reported grade level, we have determined that you may have received subsidized student loans in excess of loan limits established for the federal loan programs. **Resolution required**. In general, students who borrow in excess of aggregate loan limits are ineligible to receive further Title IV assistance; however, if the school determines that the student inadvertently borrowed in excess of the limits, the student may regain eligibility by either repaying the amount borrowed in excess of the aggregate limits, or making repayment arrangements for the excess amount that are satisfactory to the holder of the loan. Refer to Section 668.35(b)(1) of the Federal Student Financial Aid Regulations and Dear Colleague Letter GEN 96-13, Q&A #17 for additional information.		Y		Y
256	Based upon data provided by the National Student Loan Data System (NSLDS) and your reported grade level, we have determined that you have received a total amount of subsidized loans that is close to the loan limits established for the federal loan programs. Therefore, your eligibility for additional subsidized student loans may be limited.				Y
257	Based upon data provided by the National Student Loan Data System (NSLDS) and your reported grade level, we have determined that you have received a total amount of subsidized loans that is close to the loan limits established for the federal loan programs. Therefore, your eligibility for additional subsidized student loans may be limited.				Y
258	Based upon data provided by the National Student Loan Data System (NSLDS) and your reported grade level, we have determined that you have received a total amount of subsidized loans that is close to the loan limits established for the federal loan programs. Therefore, your eligibility for additional subsidized student loans may be limited.				Y
259	Based upon data provided by the National Student Loan Data System (NSLDS) and your reported grade level, we have determined that you have received a total amount of subsidized loans that is close to the loan limits established for the federal loan programs. Therefore, your eligibility for additional subsidized student loans may be limited.				Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
260	Based upon data provided by the National Student Loan Data System (NSLDS) and your reported grade level and dependency status, we have determined that you may have received student loans in excess of loan limits established for the federal loan programs. **Resolution required**. In general, students who borrow in excess of aggregate loan limits are ineligible to receive further Title IV assistance; however, if the school determines that the student inadvertently borrowed in excess of the limits, the student may regain eligibility by either repaying the amount borrowed in excess of the aggregate limits, or making repayment arrangements for the excess amount that are satisfactory to the holder of the loan. Refer to Section 668.35(b)(1) of the Federal Student Financial Aid Regulations and Dear Colleague Letter GEN 96-13, Q&A #17 for additional information.		Y		Y
261	Based upon data provided by the National Student Loan Data System (NSLDS) and your reported grade level and dependency status, we have determined that you may have received student loans in excess of loan limits established for the Federal loan programs. **Resolution required**. In general, students who borrow in excess of aggregate loan limits are ineligible to receive further Title IV assistance; however, if the school determines that the student inadvertently borrowed in excess of the limits, the student may regain eligibility by either repaying the amount borrowed in excess of the aggregate limits, or making repayment arrangements for the excess amount that are satisfactory to the holder of the loan. Refer to Section 668.35(b)(1) of the Federal Student Financial Aid Regulations and Dear Colleague Letter GEN 96-13, Q&A #17 for additional information.		Y		Y
262	Based upon data provided by the National Student Loan Data System (NSLDS) and your reported grade level and dependency status, we have determined that you have received a total amount of student loans that is close to the loan limits established for the federal loan programs. Therefore, your eligibility for additional student loans may be limited.				Y
263	Based upon data provided by the National Student Loan Data System (NSLDS) and your reported grade level and dependency status, we have determined that you have received a total amount of student loans that is close to the loan limits established for the federal loan programs. Therefore, your eligibility for additional student loans may be limited.				Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
264	Based upon data provided by the National Student Loan Data System (NSLDS) and your reported grade level and dependency status, we have determined that you have received a total amount of student loans that is close to the loan limits established for the federal loan programs. Therefore, your eligibility for additional student loans may be limited.				Y
265	Based upon data provided by the National Student Loan Data System (NSLDS) and your reported grade level and dependency status, we have determined that you have received a total amount of student loans that is close to the loan limits established for the federal loan programs. Therefore, your eligibility for additional student loans may be limited.				Y
266	Based upon data provided by the National Student Loan Data System (NSLDS) and your reported grade level and dependency status, we have determined that you may have received student loans in excess of loan limits established for the federal loan programs. **Resolution required**. In general, students who borrow in excess of aggregate loan limits are ineligible to receive further Title IV assistance; however, if the school determines that the student inadvertently borrowed in excess of the limits, the student may regain eligibility by either repaying the amount borrowed in excess of the aggregate limits, or making repayment arrangements for the excess amount that are satisfactory to the holder of the loan. Refer to Section 668.35(b)(1) of the Federal Student Financial Aid Regulations and Dear Colleague Letter GEN 96-13, Q&A #17 for additional information.		Y		Y
267	Based upon data provided by the National Student Loan Data System (NSLDS) and your reported grade level and dependency status, we have determined that you may have received student loans in excess of loan limits established for the federal loan programs. **Resolution required**. In general, students who borrow in excess of aggregate loan limits are ineligible to receive further Title IV assistance; however, if the school determines that the student inadvertently borrowed in excess of the limits, the student may regain eligibility by either repaying the amount borrowed in excess of the aggregate limits, or making repayment arrangements for the excess amount that are satisfactory to the holder of the loan. Refer to Section 668.35(b)(1) of the Federal Student Financial Aid Regulations and Dear Colleague Letter GEN 96-13, Q&A #17 for additional information.		Y		Y

Comment Code	Comment Text Definition	Match Flag	C Code	Reject Code	On the ISIR
268	Based upon data provided by the National Student Loan Data System (NSLDS) and your reported grade level and dependency status, we have determined that you have received a total amount of student loans that is close to the loan limits established for the federal loan programs. Therefore, your eligibility for additional student loans may be limited.				Y
269	Based upon data provided by the National Student Loan Data System (NSLDS) and your reported grade level and dependency status, we have determined that you have received a total amount of student loans that is close to the loan limits established for the federal loan programs. Therefore, your eligibility for additional student loans may be limited.				Y
270	Based upon data provided by the National Student Loan Data System (NSLDS) and your reported grade level and dependency status, we have determined that you have received a total amount of student loans that is close to the loan limits established for the federal loan programs. Therefore, your eligibility for additional student loans may be limited.				Y
271	Based upon data provided by the National Student Loan Data System (NSLDS) and your reported grade level and dependency status, we have determined that you have received a total amount of student loans that is close to the loan limits established for the federal loan programs. Therefore, your eligibility for additional student loans may be limited.				Y
272	ISSUES AFFECTING YOUR ELIGIBILITY.				Y
273	WHAT YOU MUST DO NOW.				Y
274	OTHER INFORMATION YOU NEED TO KNOW.				Y



Tools for Ensuring PROGRAM INTEGRITY

Common Origination & Disbursment

FSA
UNIVERSITY
FEDERAL STUDENT AID

Tools for Ensuring
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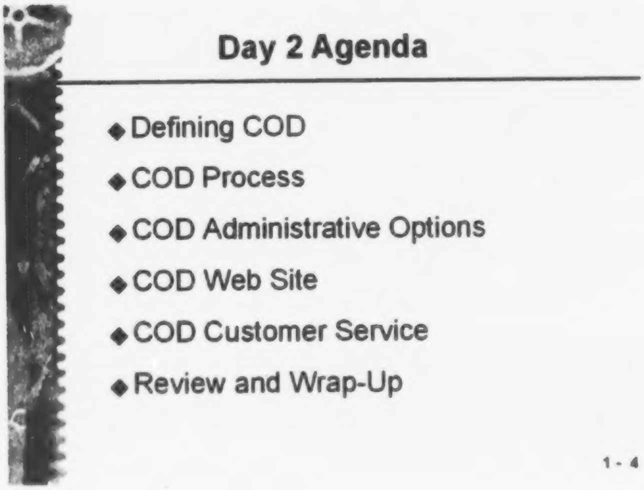
A. Glossary
B. Learning Aids
C. Answer Keys

Session 1 Objectives

- Welcome and introduce newcomers
- Review
  - Day 2 Agenda
  - Logistics
  - Agreements
  - Ask It Basket



Day 2 Agenda

- ◆ Defining COD
- ◆ COD Process
- ◆ COD Administrative Options
- ◆ COD Web Site
- ◆ COD Customer Service
- ◆ Review and Wrap-Up

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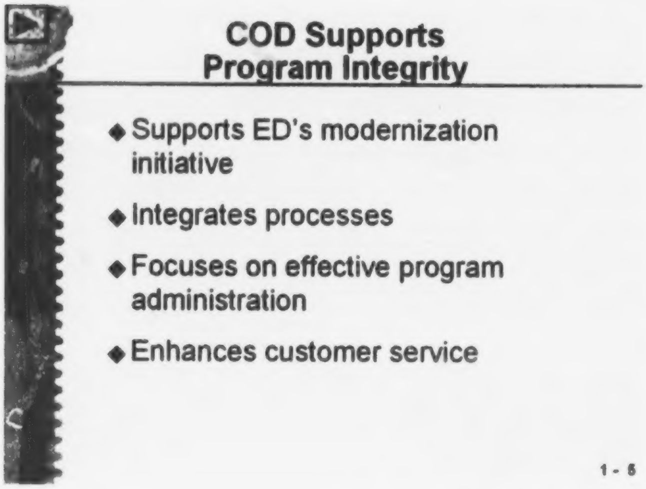
Common Origination and Disbursement (COD) Agenda

The first day of this workshop focused on the President's Management Agenda and the need to ensure that the integrity of all federal student aid programs is maintained. The primary goal was to identify and discuss the various tools and resources that the U.S. Department of Education (ED) provides to schools to help them maintain the integrity of the aid programs they administer and manage. Some of these tools include:

- FSA Schools Portal
- IFAP Updates
- SFA Assessments
- NSLDS Transfer Monitoring
- EDExpress Quality Analysis Tool for Verification
- Web-based products and processes

The focus of this second day of the workshop is on understanding the new Common Origination and Disbursement System and Process and how it also supports program integrity.



COD Supports Program Integrity

- Supports ED's modernization initiative
- Integrates processes
- Focuses on effective program administration
- Enhances customer service

1 - 5

COD Supports Program Integrity

Each of today's sessions explains how COD offers schools simplicity, accuracy, and improved access to data to support ED's emphasis on ensuring program integrity.

By the end of this second training day, you will have a good understanding of how the separate processes, operating systems, customer service centers, and Web sites for the Federal Pell Grant Program and the William D. Ford Federal Direct Loan Program have been reengineered and integrated into the new Common Origination and Disbursement process:

- One common process
- One common processing system and database
- One common customer service center
- One common web site

You also will learn that COD provides the option of reporting student-level award data from the three Campus-Based Programs (Federal Supplemental and Educational Opportunity Grant, Federal Work-Study, and Federal Perkins Loan), and you will know which schools have this option.

In addition, you will understand how the COD implementation schedule impacts your school and what you need to know in order to plan and prepare for integrating the COD process with your school's current practices and procedures.

Finally, you will be able to recognize and appreciate that COD has an enormously positive impact on effective program administration and that this new process strongly supports program integrity.

As this training progresses, try to identify ways in which the new COD process supports program integrity.

1. ____

2. ____

3. ____

4. ____

5. ____

6. ____

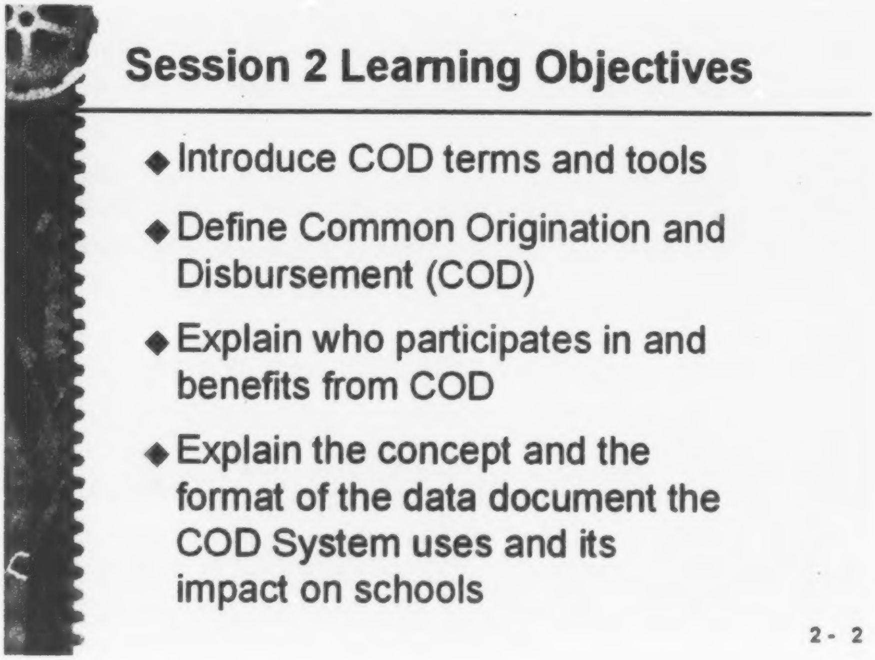
7. ____

8. ____

9. ____

10. ____

Session 2 — Defining COD



Session 2 Learning Objectives

- Introduce COD terms and tools
- Define Common Origination and Disbursement (COD)
- Explain who participates in and benefits from COD
- Explain the concept and the format of the data document the COD System uses and its impact on schools

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Key Terms

Common Origination and Disbursement (COD)

A system and database that replace the RFMS and DLOS processes and systems beginning with Award Year 2002-2003. Combines the origination and disbursement processes for the Federal Pell Grant and Direct Loan Programs.

Common Record

A data transport mechanism (message) used to exchange Federal Student Aid (FSA) data between Full Participants and ED. Written in XML and can contain multiple entities, students, programs, awards, and disbursements.

Enterprise Application Integration Bus (EAI Bus)

A software application that functions: (1) as a bridge between the institution solution used by the Phase-in Participant for submitting fixed length records to COD via the SAIG and (2) as a traffic manager to direct records to and from COD for all schools and other systems (e.g., CPS, NSLDS, PEPS). Also translates Responses sent by COD via the SAIG into acknowledgements that the Phase-in Participant's institution solution can read and import into their databases. Also referred to as *middleware*.

Fixed Length Record

Data record whose data elements are recognized based on their positions in the record layout. Requires that all data elements be populated for each submission. Pertains to the systems used by Phase-in Participants for transmitting data for the Federal Pell Grant and William D. Ford Direct Loan Programs.

Flat File

See "Fixed Length Record."

Full Participant

A school that uses the Common Record (XML) to submit both Federal Pell Grant and Direct Loan data to COD. Full Participants also have the option of submitting award data from the Campus-Based Programs (Federal Supplemental Educational Opportunity Grant, Federal Work-Study and Perkins Loan) to COD.

Institution Solution

Software application that a school uses to process and report Title IV data to ED (e.g., EDExpress).

Middleware

A software application that functions: (1) as a bridge between the processing systems used by Phase-in Participants for submitting fixed length records to COD via the SAIG and (2) as a traffic manager to direct records to and from COD and other systems (e.g., CPS, NSLDS, PEPS). Also translates Responses sent by COD via the SAIG into acknowledgements that the schools' processing systems can read and import into their databases. Also referred to as the *EAI bus*.

Phase-in Participant

A school that uses fixed length record layouts to submit Pell Grant and Direct Loan Program data to COD via the SAIG. Refer to the 2002-2003 Pell Grant Technical Reference and the 2002-2003 Direct Loan Technical Reference for the defined record layouts.

Real-time

Describes an application that requires a program or process to respond immediately (typically online) while a user waits for the response or update. Alternative is batch processing, which is done for high volumes and does not require the operator to wait for each response.

Student Aid Internet Gateway (SAIG)

Web-based system for providing Title IV-eligible post secondary institutions, third-party servicers, state agencies, lenders and guarantors a secure exchange of Title IV data with the FSA Application Systems. The SAIG replaces what was formerly known as the Title IV WAN. Organizations enroll individuals as destination point administrators (DPAs), who are assigned destination points (electronic mailboxes) to receive and transmit data for various Title IV student aid program systems, such as NSLDS, Direct Loan and CPS.

Enrollment in the SAIG is available at: **sfawebenroll.ed.gov**

XML (Extensible Markup Language)

Language used to code the Common Record. Each Common Record consists of XML elements that have start tags, end tags and data in between. The start and end tags describe the data or value within the tags. For example, the following XML element is a <Director> element with the value "Matthew Dunn." <Director>Matthew Dunn</Director>.

XML Document

Consists of a collection of XML data elements. Similar to a batch/flat file.

COD Term Translator

RFMS/DLOS	*COD*
Record layout	Common Record (XML) and Schema
Fixed length flat file or batch	XML document or batch
Batch ID	Document ID
Acknowledgement	Response
Origination Record (anticipated or estimated disbursements)	Disbursement submitted to COD System with Payment Trigger = false
Disbursement Record	Disbursement submitted to COD System with Payment Trigger = true Actual Disbursement
Pell ID Direct Loan School Code OPE ID	Entity ID Common School Identifier
Pell Grant Authorization Pell Grant Obligation DL Cash Control Amount	Current Funding Level
Pell Advance Pay DL Option 2	Advance Pay funding method
Pell Just-in-Time (Pilot) DL Standard Origination DL Option 1 DL Option 2	Pushed Cash funding method

COD Tools

Federal Pell Grant Program *(Full Participants)*

2002-2003 COD Technical Reference

Provides processing information, technical specifications and an implementation guide for Full Participants transmitting the Common Record in XML format to the COD System. Also includes test cases for Full and Phase-in Participants, along with a testing guide that is applicable to all schools (both Full and Phase-in Participants).

Available for download at: **sfadownload.ed.gov** *or*

Available for download at: **ifap.ed.gov**

2002-2003 COD Technical Reference: XML Schema (Appendix B)

Specifies the rules surrounding the logical structure of an XML document for Full Participants. Describes the allowed content of documents and defines the elements present in the document and the order in which they appear, as well as any attributes that may be associated with an element. Allows schools, software providers or third-party servicers to incorporate the Common Record into their products and services.

Available for download at: **sfadownload.ed.gov** *or*

Available for download at: **ifap.ed.gov**

Federal Pell Grant Program *(Phase-in Participants)*

2002-2003 Federal Pell Grant Program Technical Reference

Provides processing information, technical specifications for fixed length record layouts and an implementation guide for Phase-in Participants who participate in the Federal Pell Grant Program. Includes record layouts for all record exports to and imports from the COD system.

Available for download at: **sfadownload.ed.gov** *or*

Available for download at: **ifap.ed.gov**

Federal Pell Grant Program *(All Participants)*

Common Origination & Disbursement Web Site

Web-based system for processing and maintaining all Pell Grant and Direct Loan data from **Award Year 2002-2003 forward** (Campus-Based reporting is optional).

Located at: **cod.ed.gov**

User ID and password are required to access this site. See **ifap.ed.gov/cod/0228CODUserIDSetupWebsite.html** for instructions.

Pell Grants on the Web

For **Award Years 1999 -2000, 2000-2001 and 2001-2002**, web-based system for processing and maintaining Federal Pell Grant information, including:

- Verifying batch statuses
- Submitting data requests
- Checking account balances
- Entering institution records
- Entering post-deadline data records

Located at: **www.pellgrantsonline.ed.gov**

Common Origination & Disbursement Customer Service Center

Beginning with Award Year 2002-2003, provides single point of service and combined support to Full and Phase-in Participants who transmit Pell Grant and/or Direct Loan award and disbursement information to the COD System.

Call: **1 (800) 4PGRANT for Pell Grants**

Call: **1 (800) 848-0978 for Direct Loans**

Prior Award Year 2002-2003 issues are routed to the existing Federal Pell Grant Customer Service Center or the Direct Loan Origination Customer Service Center as applicable.

William D. Ford Federal Direct Loan Program (Full Participants)

2002-2003 COD Technical Reference

Provides processing information, technical specifications and an implement guide for Full Participants transmitting the Common Record in XML format to the COD System. Also includes test cases for Full and Phase-in Participants, along with a testing guide that is applicable to all schools (both Full and Phase-in Participants).

Available for download at: **sfadownload.ed.gov** *or*

Available for download at: **ifap.ed.gov**

XML Schema for the Common Record

Specifies the rules surrounding the logical structure of an XML document for Full Participants. Describes the allowed content of documents and defines the elements present in the document and the order in which they appear, as well as any attributes that may be associated with an element. Allows schools, software providers or third-party servicers to incorporate the Common Record into their products and services.

Available for download at: **sfadownload.ed.gov** *or*

Available for download at: **ifap.ed.gov**

William D. Ford Federal Direct Loan Program (Phase-In Participants)

2002-2003 Direct Loan Technical Reference

Provides processing information, technical specifications for fixed length record layouts and an implementation guide for COD Phase-in Participants who also participate in the William D. Ford Federal Direct Loan Program. Includes record layouts for all record exports to and imports from the COD system and print specifications for Direct Loan promissory notes.

Available for download at: **sfadownload.ed.gov** *or*

Available for download at: **ifap.ed.gov**

William D. Ford Federal Direct Loan Program (All Participants)

Common Origination & Disbursement Web Site

Web-based system for processing and maintaining all Pell Grant and Direct Loan data from Award Year 2002-2003 forward (Campus-Based reporting is optional).

Located at: **cod.ed.gov**

User ID and password are required to access this site. See **ifap.ed.gov/cod/0228CODUserIDSetupWebsite.html** for instructions.

Direct Loan Origination Online

Web-based system for processing William D. Ford Federal Direct Loans for **Award Year 2001-2002 and prior**. Includes loan entrance counseling.

Located at: **lo-online.ed.gov**

Email: **loan_origination@mail.eds.com**

Common Origination & Disbursement Customer Service Center

Beginning with Award Year 2002-2003, provides single point of service and combined support to Full and Phase-in Participants who transmit Pell Grant and/or Direct Loan award and disbursement information to the COD System.

Call: **1 (800) 4PGRANT for Pell Grants**

Call: **1 (800) 848-0978 for Direct Loans**

Prior Award Year 2002-2003 issues are routed to the existing Federal Pell Grant Customer Service Center or the Direct Loan Origination Customer Service Center as applicable.

Direct Loan Servicing Customer Service Center

Provides customer service and support for direct loan servicing issues, including:

- Booking dates
- Delinquency issues
- Interface issues
- Payments
- Separation dates

Call: **1 (888) 877-7658**

Direct Loan Servicing Online

Provides customer service and support for Direct Loan servicing issues, including loan exit counseling.

Located at: **www.dlservicer.ed.gov/schools**

Grant Administration and Payment System (GAPS)

System used by ED's Office of the Chief Financial Officer to process school-specific obligations and to make payments to schools against those obligations. GAPS is part of EDCAPS and interfaces directly with the U.S. Treasury's Federal Reserve System. Under GAPS, schools request funds for Pell Grants, Direct Loans and other student financial aid programs using the program and fiscal year designation that ED has assigned to the authorized funds.

GAPS Hotline

Provides customer service support via telephone or email pertaining to using the e-Grants web site.

Call: **1 (888) 336-8930**

Email: **EDCAPS_USER@ed.gov**

EDCAPS e-Payments Web Site

Streamlines GAPS payment processing and reporting for ED's grantees/payees. Provides online capabilities to request payments from the Department and continuous access to current grant and payment information.

- Initiate payment requests and refunds
- Print activity reports
- Check available balances
- View payment requests

Located at: **e-Grants.ed.gov/gapsweb**

Federal Student Aid (FSA)

FSA Customer Service Call Center

Provides customer support across many areas, including:

- Application processing questions
- Help with contacting staff in the U.S. Department of Education
- Title IV policy and regulation questions

Call: **1 (800) 433-7327**

Email: **sfa.customer.support@ed.gov**

FSA Schools Portal Web Site

FSA's electronic gateway to a wide variety of resources, including Common Origination and Disbursement.

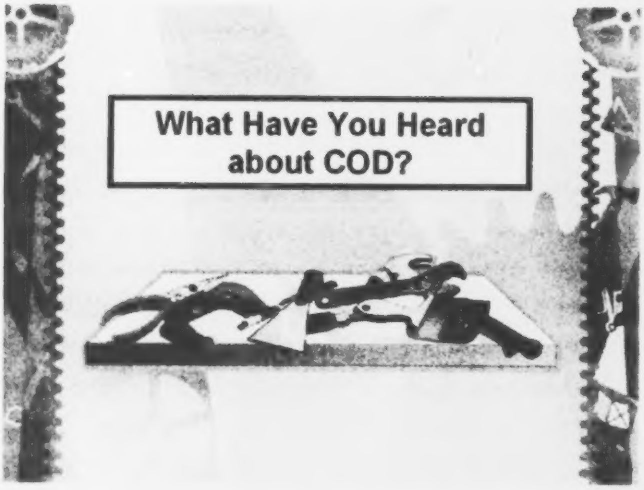
Located at: **sfa4schools.sfa.ed.gov**

Information for Financial Aid Professionals (IFAP)

Provides FSA information updates electronically. Online database providing access to a collection of current and archived FSA information and materials (e.g., publications, reference manuals, regulatory and policy guidance, Dear Partner and Action Letters, etc.). Pertaining specifically to COD, provides:

- *COD Technical Reference*
  - Full Participant Implementation Guide
  - COD release schedule
  - COD Testing Guide and testing schedule
  - Overview of the requirements of Phase-in and Full Participants
- *Federal Pell Grant Program Technical Reference*
- *Direct Loan Technical Reference*
- COD Updates
- COD frequently asked questions

Located under Current Publications by Topic (COD) at: **ifap.ed.gov**


What Have You Heard about COD?

Common Origination and Disbursement

This exercise helps you develop a general understanding of the COD System and Process.

Learning Activity

Instructions:

1. Read the one-page COD overview on the following page.
2. Reflect on the COD System and Process and think about how it relates to your school's financial aid processing and business practices.
3. With those thoughts in mind, write down what it is about COD that causes you to be anxious and/or eager for the process to begin.

My Concerns about COD

Common Origination and Disbursement Overview

As a result of ED's modernization initiative, the operating systems and delivery processes for the Federal Pell Grant (Pell), Direct Loan (DL) and Campus-Based Programs were thoroughly analyzed. FSA recognized that there was enough commonality among the data collected from the three programs to warrant a single process—Common Origination and Disbursement.

As a result, the individual operating systems, the web sites, and the customer service centers are being integrated into one COD processing system, one COD Web Site, and one COD customer service center. This means that, beginning with the 2002-2003 award year, the Common Origination and Disbursement (COD) System replaces the Recipient Financial Management System (RFMS) and the Direct Loan Origination System (DLOS). ALL schools will submit 2002-2003 Pell Grant and Direct Loan award and disbursement data to the COD System. In addition, some schools will have the option of submitting Campus-Based disbursement information to help with FISAP reporting.

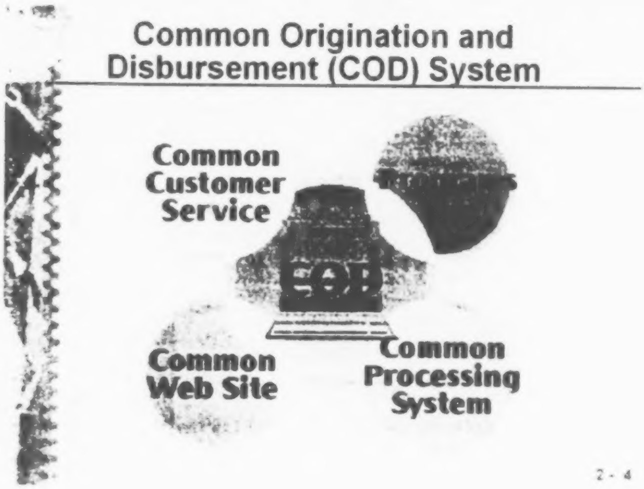
Unlike the RFMS and DLOS, systems that processed fixed length records (also referred to as flat files), the COD System uses the "Common Record" as the vehicle for transmitting Title IV award information to ED. The Common Record is coded in XML, a language used for web applications. XML makes the Common Record simpler and much more flexible, efficient and effective than fixed length records.

Currently, only a small number of schools have operating systems (Institution Solutions) that "speak" XML. These schools are referred to as Full Participants, and they submit their Pell Grant and Direct Loan records via the Common Record. Full Participants have the option of submitting their records to the COD System in batches via the SAIG or by entering individual records online via the COD Web Site.

Those schools whose Institution Solutions do not "speak" XML are referred to as Phase-in Participants. For 2002-2003, most schools will be Phase-in Participants, and they will send their fixed length records to COD in batch files via the SAIG. As they go in and out of the COD System, all records submitted via the SAIG are routed through a special application, referred to as middleware or EAI BUS. Although the COD System is able to read all of the records submitted—those in the fixed length format as well as Common Records (XML)—the Responses returned by COD must be translated to Acknowledgements (fixed-length files) by the middleware. Acknowledgements are then sent to the schools to update their databases.

During this first year of COD implementation, the RFMS and DLOS will continue to process 2001-2002 Pell Grant and Direct Loan data. In addition, the corresponding web sites and customer service centers will remain operational. However, once the 2001-2002 award year is closed out, the RFMS and DLOS systems will be retired.

The institution solutions that Phase-in Participants use must transition from the fixed length record format to the Common Record (XML) by the 2004-2005 award year. This means that mainframe schools must get their IT staff involved in implementation planning as soon as possible. Those schools that use third-party software should contact their vendors to discuss the vendor's implementation plan and schedule. Finally, schools that use EDExpress should be on the lookout for information about the scheduled implementation of the Common Record format for 2003-2004.



Common Origination and Disbursement (COD) System

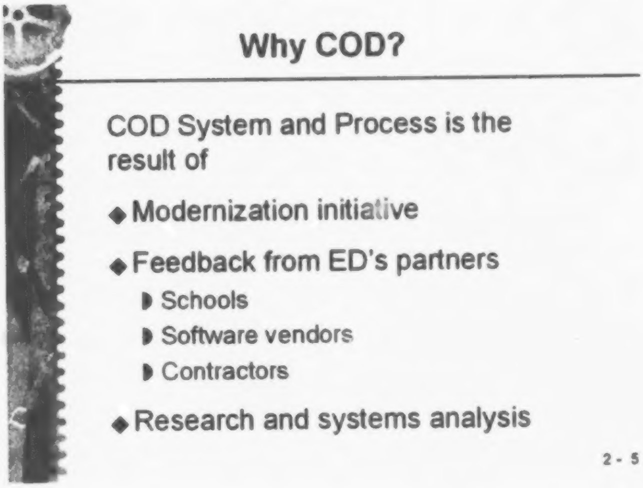
2 - 4

Common Origination and Disbursement (COD) System

The new Common Origination and Disbursement (COD) System and Process and its concept of integrating data from the Federal Pell Grant Program, the William D. Ford Direct Loan Program, and the Campus-Based Programs (FSEOG, FWS and Perkins) impacts other processes and support systems that are being retired. These include:

- Processes, processing systems and databases
  - RFMS for Pell Grants
  - DLOS for Direct Loans
- Customer service
  - Pell Grant Hot Line
  - Direct Loan Origination Customer Service
- Web sites
  - Pell Grants on the Web
  - Loan Origination Online

The new COD Process does not, however, impact a school's eligibility to participate in Title IV programs. Nor does it change the policies and rules governing the Pell Grant, Direct Loan and Campus-Based Programs.



Why COD?

COD System and Process is the result of

- Modernization initiative
- Feedback from ED's partners
  - Schools
  - Software vendors
  - Contractors
- Research and systems analysis

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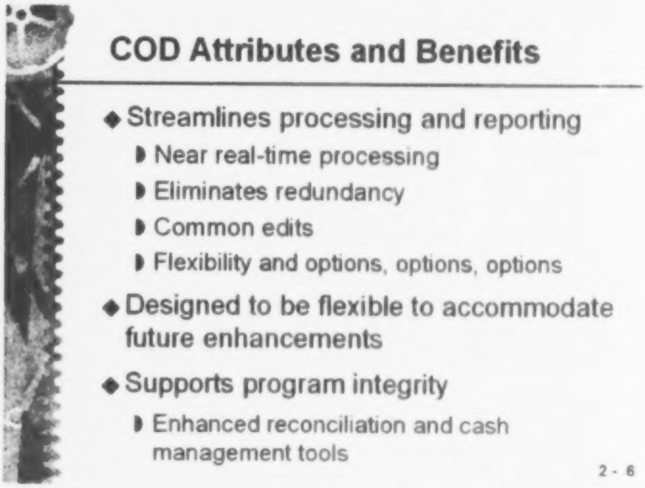
Why COD?

Based on research conducted and feedback received from the financial aid community, ED planned, developed and implemented the COD System to address six main areas of concern:

1. Integration
2. Cost
3. Service
4. Ease of delivery
5. Reconciliation
6. Integrity



COD Attributes and Benefits

- Streamlines processing and reporting
  - Near real-time processing
  - Eliminates redundancy
  - Common edits
  - Flexibility and options, options, options
- Designed to be flexible to accommodate future enhancements
- Supports program integrity
  - Enhanced reconciliation and cash management tools

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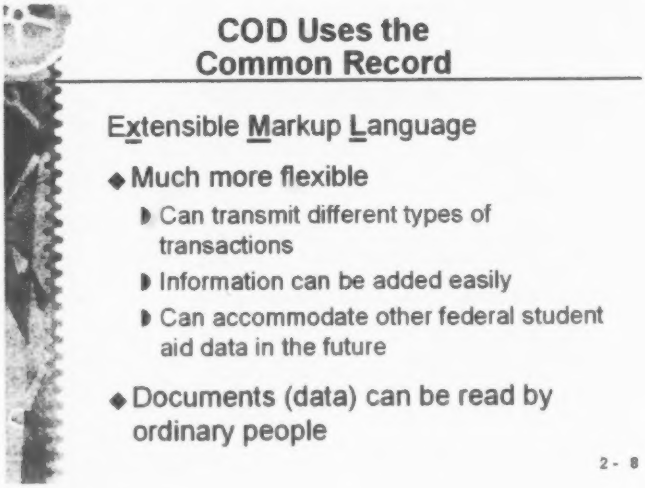
COD Attributes and Benefits

FSA's goal for the COD Process and System is to promote program integrity and offer schools simplicity, accuracy, improved access to data and other benefits, including

- Common business process across programs
- Common edits across programs
- Streamlined edits to reduce turnaround time for exception processing
- Fully web-enabled system that is available 24 hours a day, 7 days a week and provides online processing in near real-time
- Expanded online capability to make corrections and changes, process "emergency" requests and check processing status
- Easier reconciliation and fund accounting
- Integrated customer service for Pell Grant Program and Direct Loan Program
- Integrated documentation (i.e., one technical reference)
- Ability to report student-level data for Campus-Based Programs (FSEOG, FWS and Perkins)

Challenge:

Remembering our definition of "program integrity" from yesterday, how is program integrity supported by the new concept of Common Origination and Disbursement?



COD Uses the Common Record

Extensible Markup Language

- Much more flexible
  - Can transmit different types of transactions
  - Information can be added easily
  - Can accommodate other federal student aid data in the future
- Documents (data) can be read by ordinary people

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COD Uses the Common Record

To transmit and process data, the COD System uses the Common Record, a data record that is created using *XML*—Extensible Markup Language.

The Common Record (XML) is significantly different from the fixed length record used by the old Pell Grant and Direct Loan processing systems. Unlike the fixed length record, the Common Record (XML) is very flexible. In addition, its data contents can be easily read by people as well as computers, as the two examples below indicate.

Fixed length record

```
SUE_________RSMITH___________447322292198209 21
```

Common Record (XML)

```
<Name>
    <FirstName>Sue</FirstName>
    <MiddleInitial>R</MiddleInitial>
    <LastName>Smith</LastName>
</Name>
<SSNum>447322292</SSNum>
<DtofBirth>1982-09-21</DtofBirth>
```

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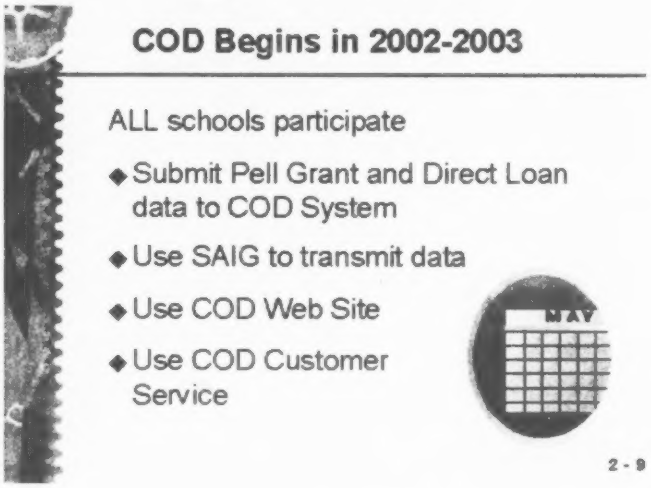


COD Begins in 2002-2003

ALL schools participate

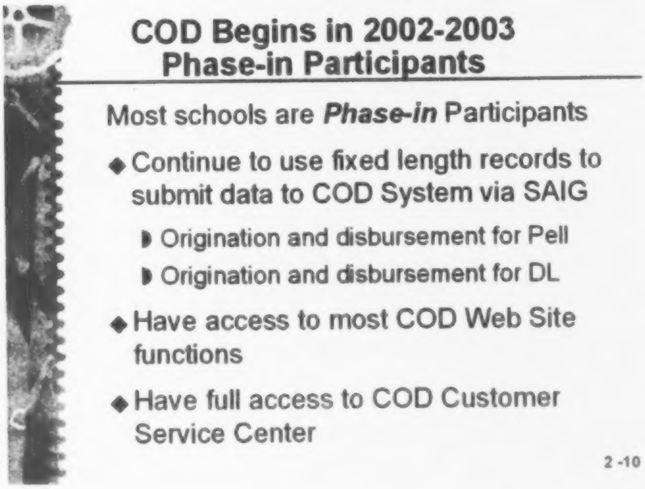
- Submit Pell Grant and Direct Loan data to COD System
- Use SAIG to transmit data
- Use COD Web Site
- Use COD Customer Service

COD Begins in 2002-2003

All components of COD are being implemented in Academic Year 2002-2003

- Integrated process
- Integrated processing system
- Integrated web site
- Integrated customer service

And all schools will use the new COD Process to submit their 2002-2003 Pell Grant and Direct Loan information to the COD System via their SAIG mailboxes.



COD Begins in 2002-2003 Phase-in Participants

Most schools are ***Phase-in*** Participants

- Continue to use fixed length records to submit data to COD System via SAIG
  - Origination and disbursement for Pell
  - Origination and disbursement for DL
- Have access to most COD Web Site functions
- Have full access to COD Customer Service Center

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Phase-in Participants

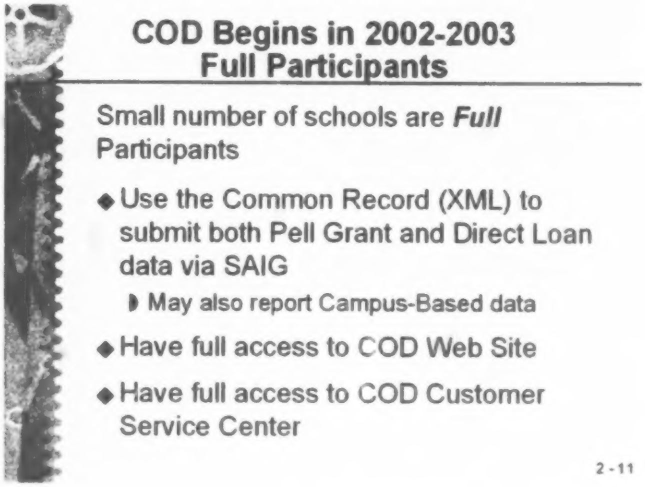
For Award Year 2002-2003, all Phase-in Participants continue to use fixed length records to submit their data via the SAIG. Phase-in Participants who participate in the Pell Grant Program continue to submit separate origination and disbursement records. Likewise, Phase-in Participants who participate in the Direct Loan Program continue to submit separate origination and disbursement records. However, all Pell Grant and Direct Loan records now go to a common processing system—COD.

All Phase-in Participants must become Full Participants by 2004-2005. In the meantime, they enjoy many of the benefits that the integrated COD System offers, including:

- Access to most COD Web Site functions, 24 hours a day, 7 days a week
- Access to the enhanced services and support of the COD Customer Service Center

Note:

Schools that use EDExpress are Phase-in Participants for 2002-2003, but will be Full Participants in 2003-2004.



COD Begins in 2002-2003
Full Participants

Small number of schools are ***Full*** Participants

- ◆ Use the Common Record (XML) to submit both Pell Grant and Direct Loan data via SAIG
  - May also report Campus-Based data
- ◆ Have full access to COD Web Site
- ◆ Have full access to COD Customer Service Center

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Full Participants

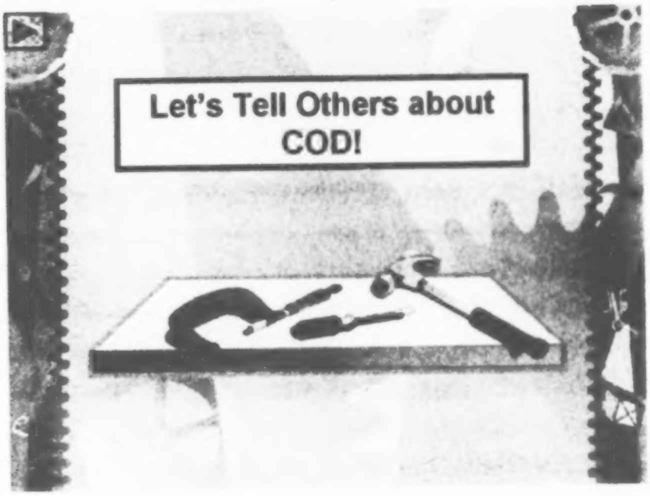
Full Participants in the COD process submit their data to COD System using the Common Record (XML). Using the Common Record provides Full Participants increased processing capabilities, such as:

- Use one student-centric process and document to submit Pell Grant Program and Direct Loan Program data
- Use one document to originate and disburse (i.e., trigger funding)
- Use one document to update data
- Submit only the data elements that changed, rather than the entire record
- Option to submit Campus-Based Program information to pre-populate portions of the FISAP

Full Participants also have full web functionality, including:

- View and resolve rejects
- Create new records
- Update records
- Submit or adjust disbursements

Like Phase-in Participants, Full Participants have full access to the enhanced services of the COD Customer Service Center.



Let's Tell Others about COD!

Common Origination and Disbursement

This session provided a high-level overview of the COD System and Process and pointed out that, beginning with 2002-2003, all schools submit their Pell Grant and Direct Loan data to the COD System. In addition, the concept of the Common Record (XML) was explained, as was the distinction between being a Phase-in Participant and a Full Participant. Based on what you know, get ready to tell others about COD!

Learning Activity

Instructions:

1. Get with your small group and select a spokesperson.
2. The instructor will randomly assign each group an incomplete sentence about COD.
3. Your group has 3-4 minutes to complete your sentence—in 15 words or less.
4. Use the space provided below to jot down your thoughts. Feel free to have fun and be creative.

What I Want to Tell the World about COD

Key Learning Points

True/False

_________1. The Common Record document is easily readable by both computers and people.

_________2. For Award Year 2002-2003, a school whose vendor is not ready to produce XML documents can continue to use their current software to submit Pell Grant and Direct Loan origination and disbursement data to the COD System.

_________3. For Phase-in Participants, the COD process eliminates the two distinct processes of submitting origination and disbursement data.

_________4. All COD data processing is done via the web.

Fill In the Blanks

5. XML is an acronym that stands for ______________________________.
6. Phase-in Participants will submit ________________________________ records.
7. Put a checkmark on the line next to each of the items that are benefits of the COD Process.
   ___ a. Option for Full Participants to report Campus-Based disbursement data so that the system will pre-populate sections of the FISAP for the school
   ___ b. Ability to access information via a single web site 24 hours a day, 7 days a week
   ___ c. More processing options and flexibility
   ___ d. Increased emphasis on providing better customer service to schools and third-party servicers
8. Because the Common Record uses XML, schools can send data for ______________________ ____ in one transmission.
9. If your school uses a mainframe system to report Pell Grant and Direct Loan data, you should talk to _________________ about implementing the use of the Common Record at your school.
10. If your school uses software provided by an outside vendor, you should talk to your ______________________ about implementing the use of the Common Record at your school.
11. The EDExpress software will use the Common Record beginning in Award Year ___________.

Answer the Following

12. Who participates in the COD Process for Award Year 2002-2003?

13. Data from which programs is being integrated?

14. What systems are being integrated?

15. Who has access to the COD Web Site?

16. Who has access to the COD Customer Service Center?

Session 3 — COD Process

Session 3 Learning Objectives

- ◆ Outline the COD Process
- ◆ Identify processing changes
- ◆ Explain funding

Key Terms

Advance Pay

A funding method option by which schools request cash through GAPS for actual disbursements to students/borrowers. In addition, schools may only draw down cash up to the difference between the school's Current Funding Level (CFL) and the amount of funds previously sent to the school for a given award year and program. The U.S. Treasury transmits funds to the school's federal bank account.

Available Balance

Difference between the school's Current Funding Level (CFL) and the amount the school has drawn down. Pertains to schools using the Advance Pay funding method.

Call for Cash

Requirement that a school return unsubstantiated funds previously drawn down. Pertains to schools using the Advance Pay funding method.

Common School Identifier (CSID)

An 8-digit identifier assigned to schools and third party servicers that is common across the Pell Grant and Direct Loan programs beginning in the 2002-2003 award year.

Current Funding Level (CFL)

Similar to the authorization or obligation level in the 2001-2002 process for Pell Grants and the Cash Control Amount for Direct Loans, the Current Funding Level (CFL) is the level at which funds are made available to cover a school's disbursement needs.

Disbursement

A document containing disbursement data with the Payment Trigger flag set to "true." The Payment Trigger is a field on the Common Record that signals the COD System to post the disbursement to a specific award (loan or grant). It either releases funds available to a school via drawdown or FedWire/ACH, or substantiates money already made available to the school. For Phase-in Participants, this is the actual disbursement.

Entity Identifier (ID)

On the Common Record, the unique Common School Identifier for each data exchange partner (e.g., school, third party servicer, vendor, etc.). When performing entity searches via the COD Web Site, the Entity ID is a school's Common School Identifier, Pell ID, Direct Loan ID or OPE ID.

Freeze Cash

Period during which a school is temporarily prevented from drawing down funds until unsubstantiated funds previously drawn down are substantiated by submitting actual disbursements. Pertains to schools using the Advance Pay funding method.

Multiple Reporting Record (MRR)

Identifies originations and/or disbursements being reported by more than one school for the same student. Designed to provide schools with information to identify and resolve potential overaward payments and concurrent enrollments before they occur.

Office of Postsecondary Education (OPE) ID

An eight-digit identification number assigned by the Office of Postsecondary Education to an institution that has been approved to participate in federal student financial aid programs. Schools that don't administer Title IV funds but want their students to qualify for in-school deferments also are assigned an OPE ID number. Additional locations of a school are designated by the last two digits of the OPE ID (e.g., the OPE ID of a school's main campus would be 001639**00**, while the OPE ID of the school's additional location would be 001639**01**).

Payment Trigger Flag

Field on the Common Record that designates data as an actual disbursement (Flag = true). Signals the COD System to post the amount of disbursement to an award (loan or grant).

Postsecondary Education Participants System (PEPS)

The Financial Student Aid (FSA) management information system for all organizations that have a role in administering federal student financial aid and other Higher Education Act programs. Maintains eligibility, certification, demographic, financial, review, audit and default rate data about schools, lenders and guarantors participating in the Title IV programs.

Potential Overaward Project (POP)

A situation that occurs when more than one school reports to the COD System disbursements for the same student totaling more than 100% of the Scheduled Pell Grant award. Remains on the system for 30 days to allow the schools involved to remedy the situation before corrective action is taken.

Pushed Cash

A funding method option whereby, based on accepted actual disbursements submitted by the school, funds are automatically sent to the school's bank account via ACH or FEDWIRE without requiring a drawdown request.

Receipt

Notification sent to the Full Participant from the COD System indicating the system has received a school's Common Record and that it is readable and complies with the XML schema.

Response

Document returned to the Full Participant after processing is complete (akin to the Acknowledgement sent to a Phase-in Participant). Contains updated information, including edit comments and rejects, where applicable.

Student Identifier (SID)

Field on the Common Record that has the following three attributes: (1) the student's current Social Security number, (2) the student's current last name and (3) the student's current date of birth.

Substantiate

Accounting for funds already drawn or disbursed to a student. In the COD Process, schools substantiate funds by sending in disbursements (where the Payment Trigger flag is set to "true") detailing the disbursement amounts and dates.

Unsubstantiated Cash

Difference between the amount of cash (funds) a school has drawn down and the amount of cash the school has substantiated by submitting actual disbursements. Pertains to schools using the Advance Pay funding method.

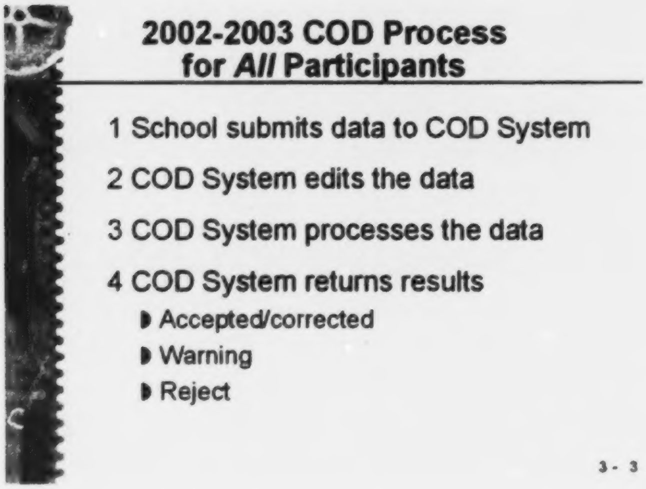
Verification Status Code

Code that tells ED what the school has done relative to the student's selection or non-selection for verification. Valid codes are:

Blank (not selected or selected but not verified)

V- Verified

W- Without Documentation



2002-2003 COD Process for *All* Participants

1 School submits data to COD System

2 COD System edits the data

3 COD System processes the data

4 COD System returns results

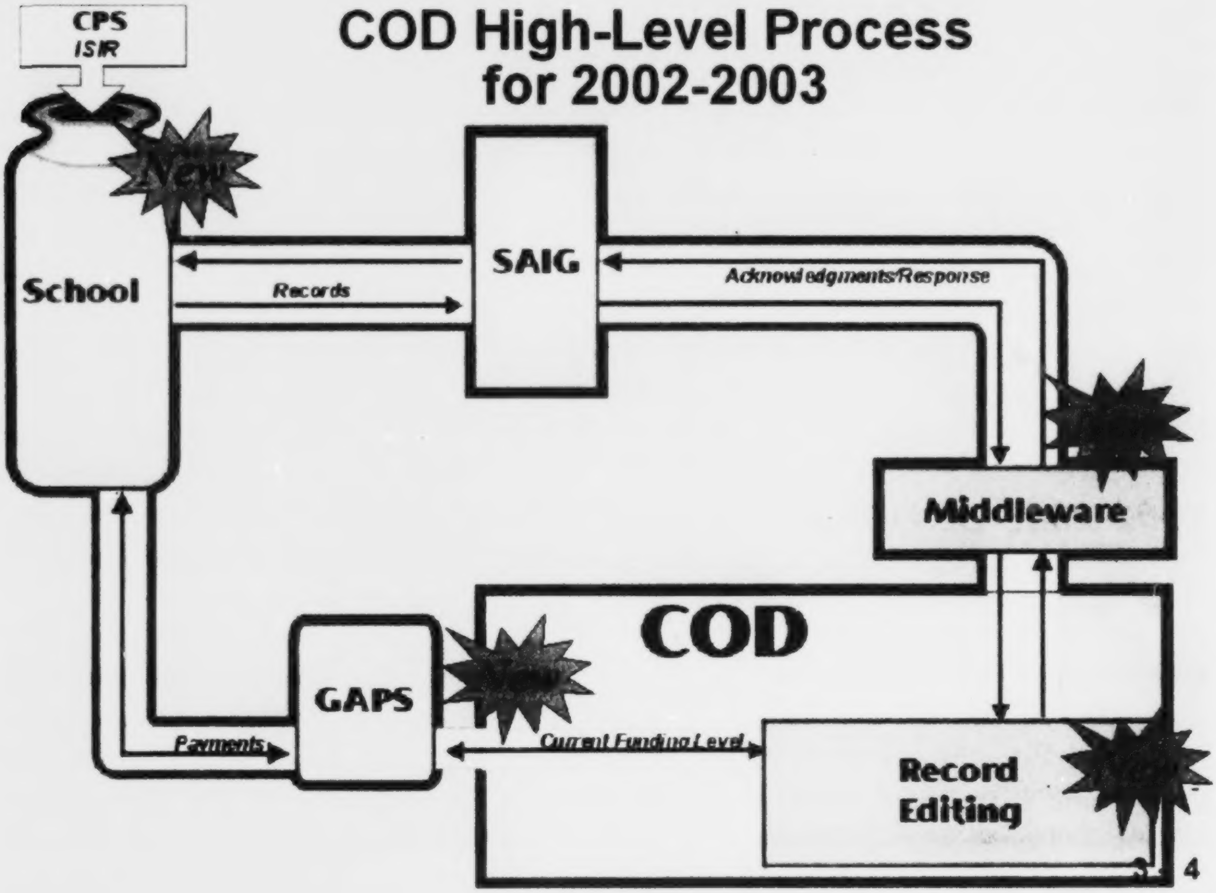
- Accepted/corrected
- Warning
- Reject

3-3

2002-2003 COD Process for All Participants

The basic 2002-2003 process for submitting Pell Grant and Direct Loan data is the same as it was previously. The biggest difference to the basic process is that all records now go to the COD System.

COD High-Level Process for 2002-2003

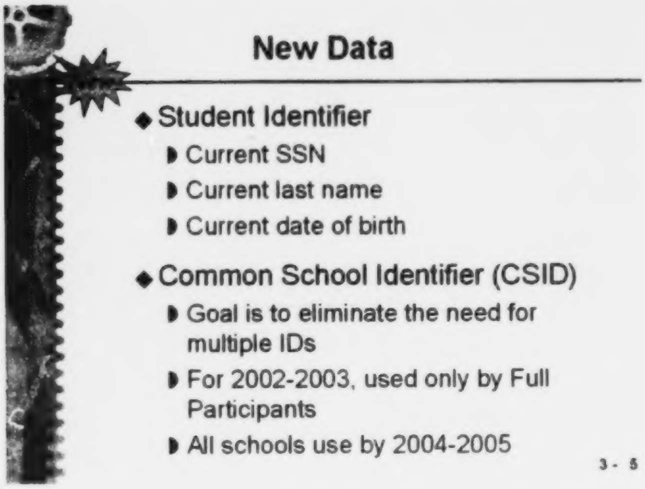

CPS
ISIR
New
School
Records
SAIG
Acknowledgments/Response
New
Middleware
COD
GAPS
New
Payments
Current Funding Level
Record Editing
New
3
4

2002-2003 COD Process for All Participants

The COD Process does not eliminate the need to submit origination and disbursement information for Pell Grant and Direct Loan awards. It just streamlines the process.

Note:

Each of the areas marked "new" is discussed in detail in this session.



New Data

- Student Identifier
  - Current SSN
  - Current last name
  - Current date of birth
- Common School Identifier (CSID)
  - Goal is to eliminate the need for multiple IDs
  - For 2002-2003, used only by Full Participants
  - All schools use by 2004-2005

3 - 5

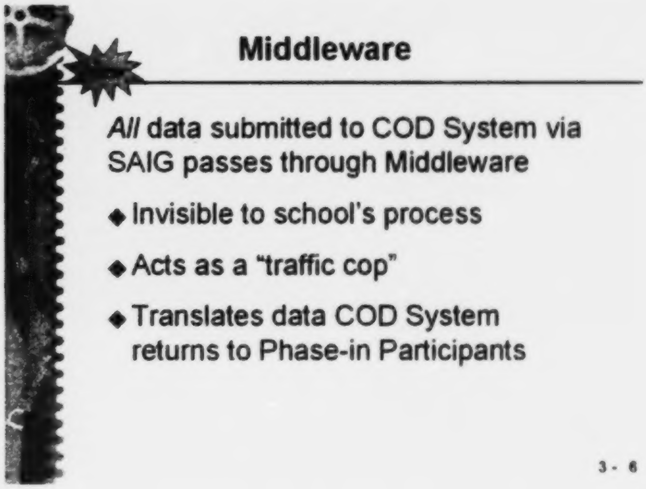
New Data

Two significant changes that have been initiated by the new COD System are the Student Identifier and the Common School Identifier.

- Student Identifier
  - Uses a student's current SSN rather than the original SSN, along with the current last name and current date of birth
  - Simplifies matching COD records with the CPS
  - Applies to all schools that participate in the Pell Grant Program
- Common School Identifier
  - For 2002-2003, used only by Full Participants
  - Represents a very important outcome of ED's modernization initiative
  - Provides a cross-program standard for identifying schools
  - Eliminates the need for multiple school IDs

Note:

The Student Identifier is used by all schools that report data to the COD System.



Middleware

All data submitted to COD System via SAIG passes through Middleware

- Invisible to school's process
- Acts as a "traffic cop"
- Translates data COD System returns to Phase-in Participants

3 - 6

Middleware

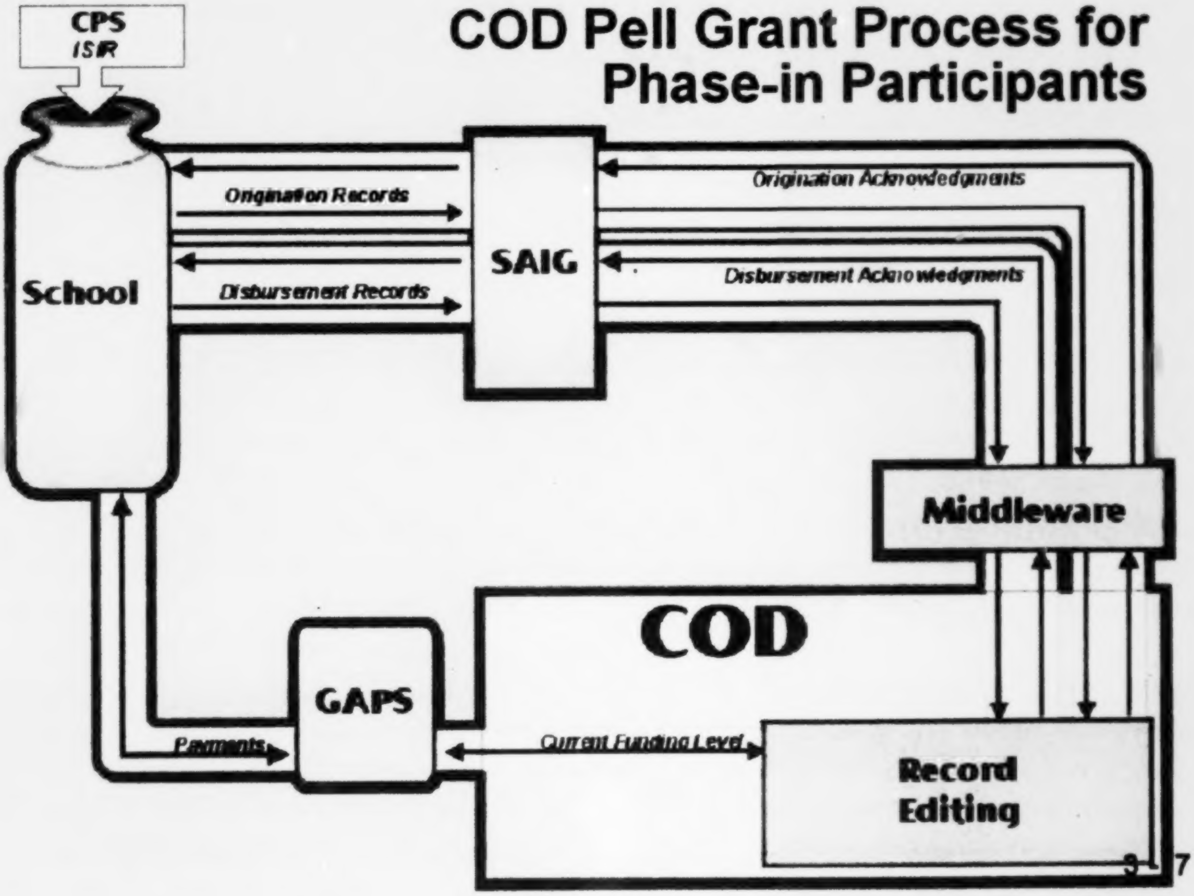
All data that is transmitted to the COD System via the SAIG passes through the middleware application. The middleware serves two important purposes:

- Acts as a traffic manager to direct records submitted by schools and other systems (e.g., CPS, NSLDS, PEPS) to and from the COD System
- For Phase-in Participants, acts as a translator to translate the results of the COD System data processing into a fixed length Acknowledgement that the school's system can read

Note:

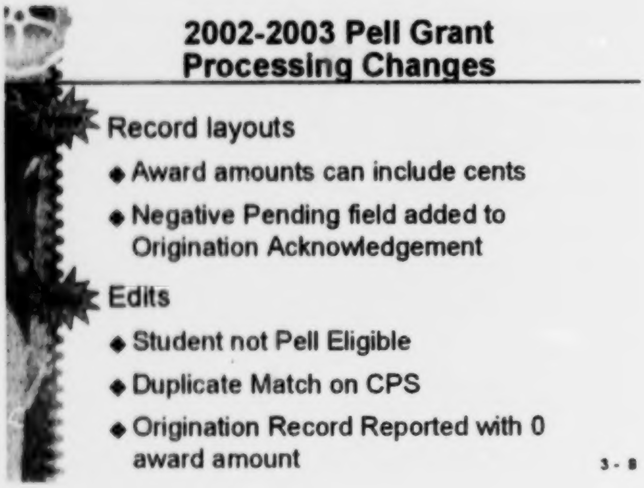
The middleware does not impact data processing in any way. It only serves to translate the results of data already processed by the COD System into the fixed length Acknowledgement needed by the Institution Solutions (operating system) used by Phase-in Participants.

COD Pell Grant Process for Phase-in Participants


CPS
ISIR
School
SAIG
Origination Records
Disbursement Records
Origination Acknowledgments
Disbursement Acknowledgments
Middleware
COD
GAPS
Payments
Current Funding Level
Record Editing
3-7

COD Pell Grant Process for Phase-in Participants

Phase-in Participants submit fixed length origination (estimated disbursements) and actual disbursement records to the COD System via the SAIG. The COD System processes the record and returns a Response, which the middleware translates into a fixed length Acknowledgement that the school's system can read.



2002-2003 Pell Grant Processing Changes

Record layouts
- Award amounts can include cents
- Negative Pending field added to Origination Acknowledgement

Edits
- Student not Pell Eligible
- Duplicate Match on CPS
- Origination Record Reported with 0 award amount

3-8

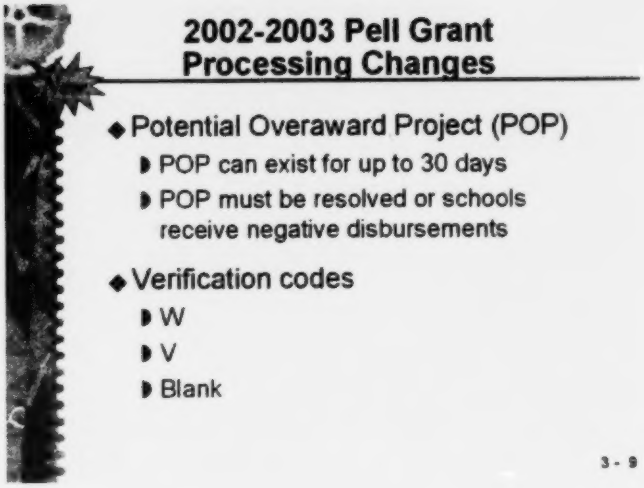
2002-2003 Pell Grant Processing Changes

A few of the most important new edits for 2002-2003 Pell Grant processing include:

- Student not Pell eligible
  - Fixed length record edit code = 337
  - COD System edit code = 038
- Duplicate match on CPS
  - Fixed length record edit code = 338
  - COD System edit code = 025
- Origination reported with zero award amount
  - Fixed length record edit code = 339
  - COD System edit code = 042

Note:

The COD System applies the same edits to all Pell Grant data submitted. However, the edit codes for fixed length records still correspond to RFMS, so the edits codes for Phase-in Participants differ from those received by Full Participants.



2002-2003 Pell Grant Processing Changes

- Potential Overaward Project (POP)
  - POP can exist for up to 30 days
  - POP must be resolved or schools receive negative disbursements
- Verification codes
  - W
  - V
  - Blank

3 - 9

2002-2003 Pell Grant Processing Changes

Of the 2002-2003 changes that pertain to the Pell Grant processing, the most significant change is likely to be the way in which the Potential Overaward Project (POP) process is administered.

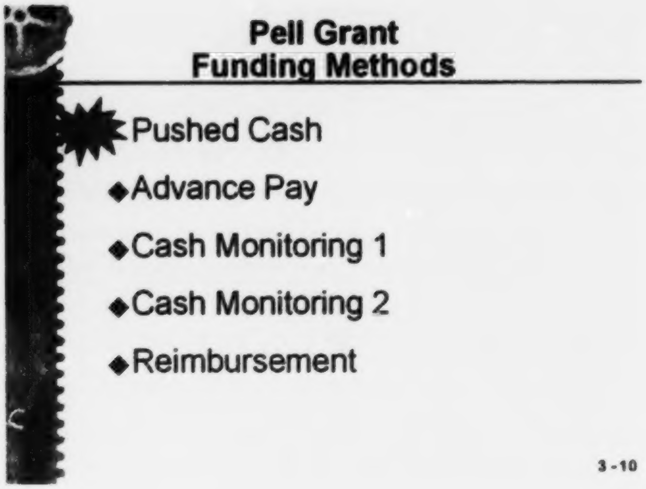
- Beginning with 2002-2003, Pell Grant overawards will be allowed to exist for 30 days
- A Multiple Report Record (MRR) will be produced to inform each school involved of the situation and to provide contact information
- If the POP situation is not remedied after 30 days, each school involved will automatically receive a negative disbursement of the entire award, after which the eligible school will need to submit the positive disbursement

Another important change that streamlines processing is the reduction in verification codes. For Award Year 2002-2003, there now are only three verification codes:

- W (without documentation)
- V (verified)
- Blank (ISIR not selected or ISIR not verified)

Challenge:

How do the changes to POP and the verification codes benefit schools and support program integrity?



Pell Grant Funding Methods

- Pushed Cash
- Advance Pay
- Cash Monitoring 1
- Cash Monitoring 2
- Reimbursement

3-10

Pell Grant Funding Methods

The five funding methods are:

- Pushed Cash (funds are "pushed" to the school based on accepted actual disbursements)
- Advance Pay (school draws down funds from GAPS)
- Cash Monitoring 1 (CM1)
- Cash Monitoring 2 (CM2)
- Reimbursement

Remember that the concept of submitting origination and disbursement records for Pell Grants has not changed. Phase-in Participants use fixed length records to submit their Pell Grant origination (estimated disbursement) data, then use fixed length records to submit actual disbursement data. On the other hand, because Full Participants use the Common Record (XML), they are able to submit the origination and disbursement data in a single data submission.

Note:

The next page includes a complete listing and description of Pell Grant funding methods. It is important to understand that the funding method a school uses impacts the school's cash flow.

Challenge:

Of the five Pell Grant funding methods, only Advance Pay and Pushed Cash pertain to most schools. Do you know what Funding Method(s) your school currently uses and why?

Pell Grant Funding Methods for Full and Phase-in Participants

PELL GRANT			
COD Funding Terminology	**Legacy Funding Terminology**	**When School Can Submit Actual Disbursements**	**When COD Posts Disbursement**
Advance Pay	Pell Standard (Account Type = Obligate only)	No more than 30 days before disbursement date	No earlier than 7 days before disbursement date
Pell Just-In-Time[1]	Pell Just-In-Time (Account Type = Obligate/Pay)	No more than 7 days before disbursement date	No earlier than 7 days before disbursement date
Pell Pushed Cash (i.e. Advance Pay schools that choose to have cash pushed)	Pell Standard (Account Type = Obligate only)	No more than 7 days before disbursement date	No earlier than 7 days before disbursement date
Cash Monitoring 1 (CM1)	Pell Standard (Account Type = Obligate only)	No more than 30 days before disbursement date	No earlier than 7 days before disbursement date
Cash Monitoring 2 (CM2)	Pell Reimbursement (Account Type = Obligate only for 2001-2002 & after)	On or after disbursement date	Upon review by Case Management
Reimbursement	Pell Reimbursement (Account Type = Obligate only for 2001-2002 & after)	On or after disbursement date	Upon review by Case Management

Note: For the 2002-2003 award year, Pell Grant disbursement dates may range from June 21, 2002 to September 30, 2008.

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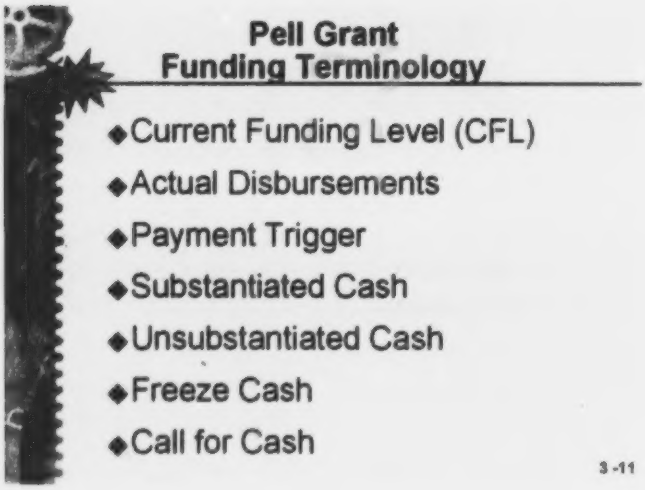
[1] Schools using the Pell Just-in-Time funding method are participants in a pilot program, whereby they are extended certain regulatory relief not provided to other schools.



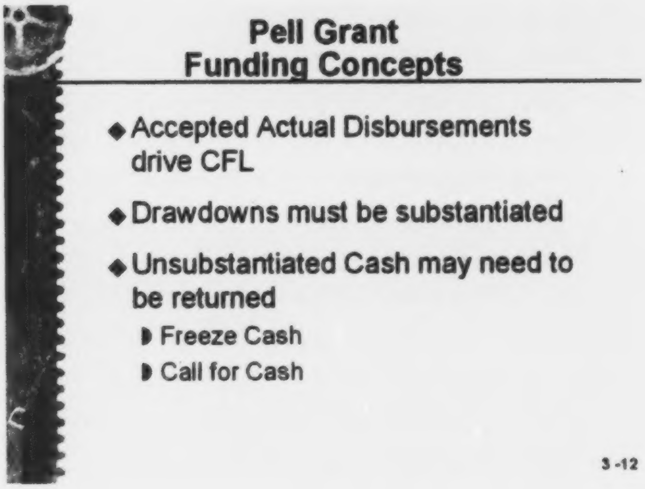
Pell Grant Funding Terminology

- Current Funding Level (CFL)
- Actual Disbursements
- Payment Trigger
- Substantiated Cash
- Unsubstantiated Cash
- Freeze Cash
- Call for Cash

3-11

Funding Terminology

Before reviewing the concepts of the funding process, let's become familiar with the funding terminology. The definitions for each of these key terms may be found in either the Key Terms section (pages 3-2 to 3-4) or in the Glossary (Appendix A).



Pell Grant Funding Concepts

- ◆ Accepted Actual Disbursements drive CFL
- ◆ Drawdowns must be substantiated
- ◆ Unsubstantiated Cash may need to be returned
  - Freeze Cash
  - Call for Cash

3-12

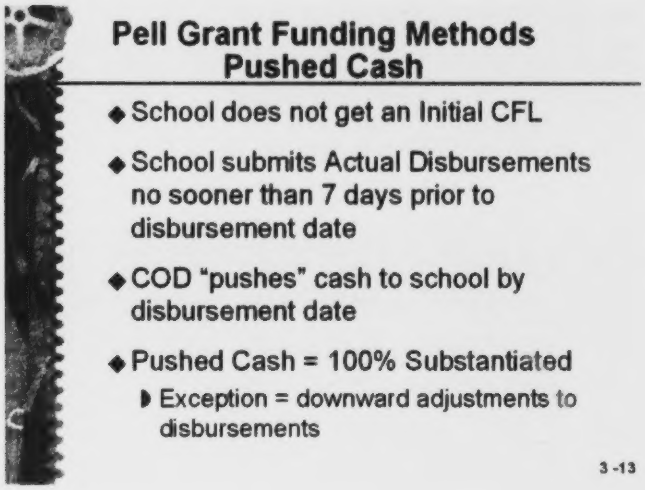
Pell Grant Funding Concepts

Because the various funding methods impact a school's cash flow, let's review the funding concepts, most of with which schools are already familiar.

Under the COD process, a school's Current Funding Level (CFL) and available balance are continuously impacted by the amount of actual disbursements submitted to and accepted by the COD System and by the amount of funding the school receives.

The cash management rules that applied to the RFMS process have not changed. Schools still are required to account for the funds received and to submit their Pell Grant disbursements within 30 days of disbursement. Under the COD process, to account for funds is to "substantiate cash." While the term is new, the concept is not.

- If the school does not substantiate funds in a timely manner, a Freeze Cash request goes into effect, and the school will be unable to draw more funds until the previous draws are substantiated
- After the Freeze Cash request, if the school fails to substantiate drawn funds, a call for cash will be issued and the school will be required to return all unsubstantiated funds



Pell Grant Funding Methods
Pushed Cash

- School does not get an Initial CFL
- School submits Actual Disbursements no sooner than 7 days prior to disbursement date
- COD "pushes" cash to school by disbursement date
- Pushed Cash = 100% Substantiated
  - Exception = downward adjustments to disbursements

3 -13

Pell Grant Funding Methods: Pushed Cash

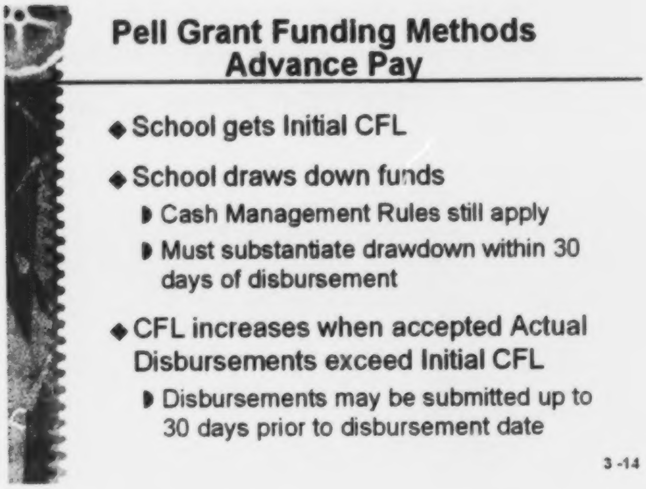
The option of having COD initiate drawdowns on the school's behalf is called Pushed Cash. Under the Pushed Cash funding method, Pell Grant funds are automatically deposited into the school's federal bank account based on actual disbursement data accepted by the COD System. Using this funding method, schools can submit actual disbursement data for Pell Grant awards up to seven days before the disbursement date. Actual disbursements submitted earlier will be rejected.

Schools using the Pushed Cash funding method do not have a Current Funding Level until the COD System accepts and posts the actual disbursements. In addition, because cash is pushed to the schools only when actual disbursements are accepted by the COD System, the substantiated cash for these schools is always at 100%.

While no action other than submitting actual disbursements is needed from the school to receive funds, schools must act to return excess cash when a downward adjustment to a disbursement is made.

Notes:

1. *Although the Pell Pushed Cash funding method is akin to Pell Just-in-Time, Pell Just-in-Time schools are participants in a pilot program and receive certain regulatory relief that Pell Pushed Cash schools do not.*
2. *Pell funds pushed to schools are not student-specific.*



Pell Grant Funding Methods
Advance Pay

- School gets Initial CFL
- School draws down funds
  - Cash Management Rules still apply
  - Must substantiate drawdown within 30 days of disbursement
- CFL increases when accepted Actual Disbursements exceed Initial CFL
  - Disbursements may be submitted up to 30 days prior to disbursement date

3-14

Pell Grant Funding Methods: Advance Pay

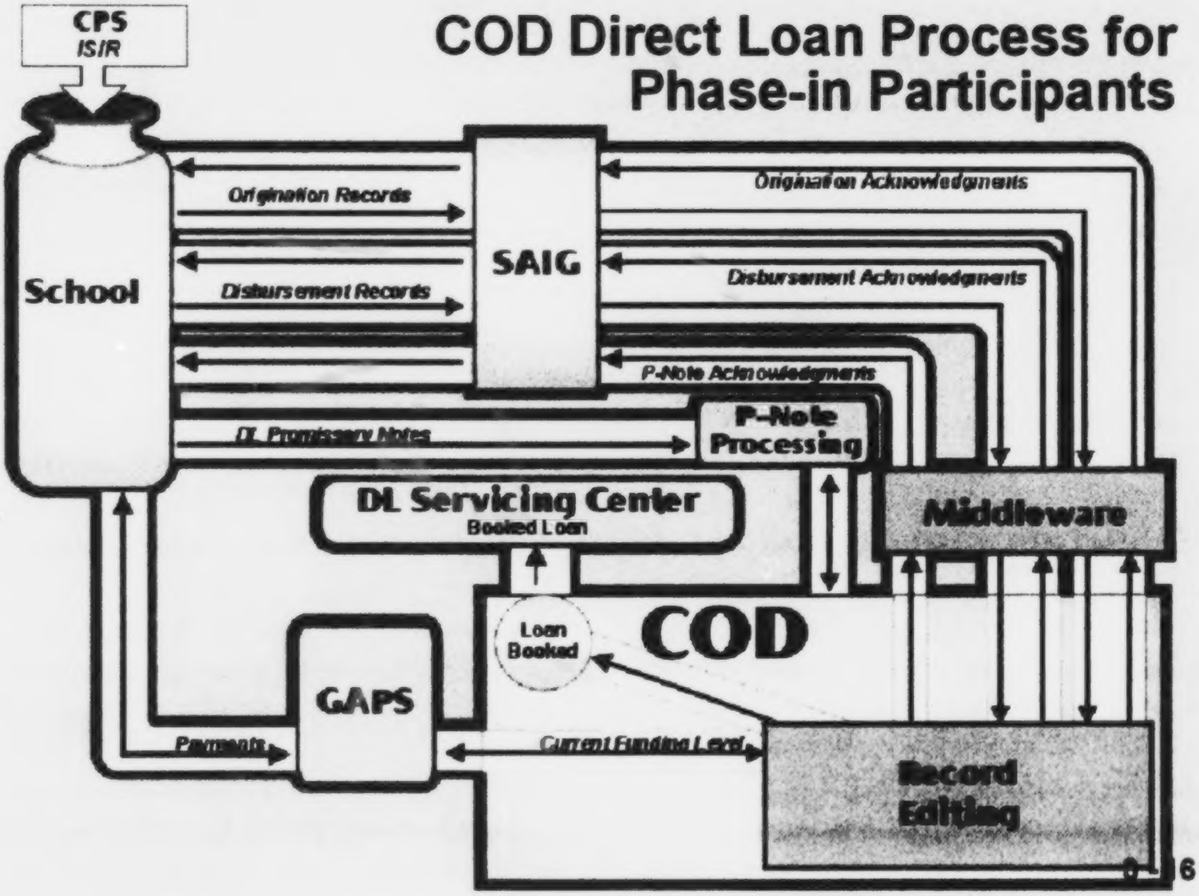
If a school uses the Advance Pay funding method, an initial Current Funding Level (CFL) is set at the beginning of the award year. This initial CFL makes funds available to the school to cover the initial Pell Grant disbursements made to students. An Advance Pay school is able to draw down funds, which, under Cash Management Rules, must be disbursed within three business days.

The initial CFL is not increased until the school submits—and the COD System accepts—actual disbursements that exceed the initial CFL and the amount is used up. In addition, the school's available balance is adjusted based on the CFL and the drawdowns the school made.

Under the COD process, schools who choose the Advance Pay funding method should keep in mind:

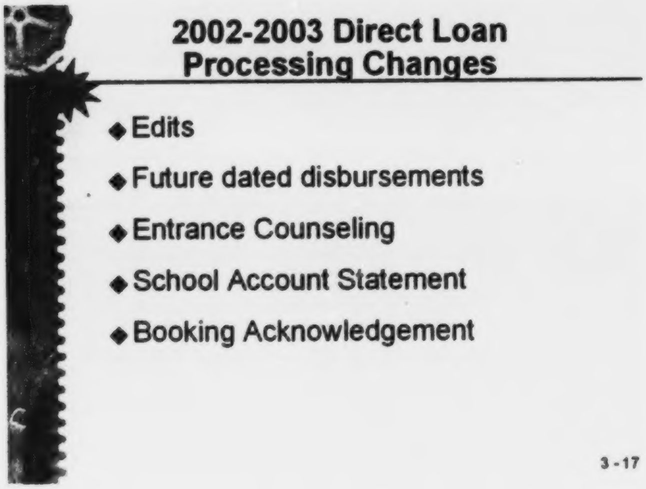
- Actual disbursements drive the CFL
- The CFL and drawdowns drive the school's available balance
- All funds drawn down must be substantiated with accepted actual disbursements within 30 days of the disbursement date
- If the school does not substantiate funds in a timely manner, a Freeze Cash request goes into effect, and the school will be unable to draw more funds until the previous draws are substantiated
- After the Freeze Cash request, if the school fails to substantiate drawn funds, a call for cash will be issued and the school will be required to return all unsubstantiated funds

Submitting actual disbursements prior to the disbursement date ensures that the school never has to deal with Freeze Cash or Call for Cash situations. Just as before, schools are able to submit Pell Grant actual disbursements up to thirty (30) days prior to disbursement, although the CFL is not recalculated until seven (7) days prior to the disbursement date of accepted actual disbursements.


COD Direct Loan Process for Phase-in Participants
CPS
ISIR
School
SAIG
Origination Records
Origination Acknowledgments
Disbursement Records
Disbursement Acknowledgments
P-Note Acknowledgments
DL Promissory Notes
P-Note Processing
DL Servicing Center
Booked Loan
Middleware
COD
Loan Booked
GAPS
Payments
Current Funding Level
Record Editing

COD Direct Loan Process for Phase-in Participants

Phase-in Participants submit fixed length origination (anticipated disbursements) and disbursement records to the COD System via the SAIG. The COD System processes the record and returns a Response, which the middleware translates into a fixed length Acknowledgement that the school's system can read.



2002-2003 Direct Loan Processing Changes

- Edits
- Future dated disbursements
- Entrance Counseling
- School Account Statement
- Booking Acknowledgement

3-17

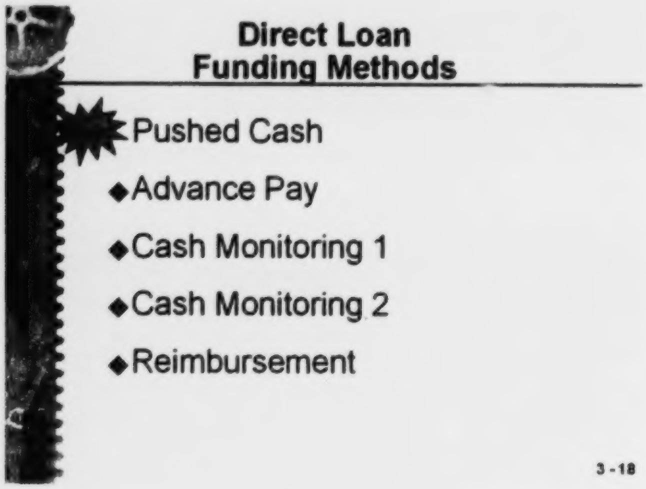
2002-2003 Direct Loan Processing Changes

In addition to becoming familiar with the COD Process and understanding how it effects Direct Loan processing, Direct Loan schools should be aware of a number of other changes that impact Award Year 2002-2003.

As Direct Loan schools evaluate the impact of these changes, they should also keep in mind that the Direct Loan Origination System (DLOS) is scheduled to be retired at the end of 2002 or the beginning of 2003. This means that all schools must plan for and prepare to close out Award Year 2001-2002 and prior years before then.

Notes:

1. *No change has been made to submitting Direct Loan disbursement amounts in whole dollars—without cents.*
2. *Schools continue to mail signed promissory notes to the Direct Loan Origination Center at P.O. Box 5692, Montgomery, AL 36103-5692.*



Direct Loan Funding Methods

- Pushed Cash
- Advance Pay
- Cash Monitoring 1
- Cash Monitoring 2
- Reimbursement

3-18

Direct Loan Funding Methods

The five funding methods are:

- Pushed Cash (funds are "pushed" to the school based on accepted actual disbursements)
- Advance Pay (school draws down funds from GAPS)
- Cash Monitoring 1 (CM1)
- Cash Monitoring 2 (CM2)
- Reimbursement

Remember that the concept of submitting origination and disbursement records for Direct Loans has not changed. Phase-in Participants use fixed length records to submit their Direct Loan origination (anticipated disbursement) data, then use fixed length records to submit actual disbursement data. On the other hand, because Full Participants use the Common Record (XML), they are able to submit the origination and disbursement data in a single data submission.

Note:

The next page includes a complete listing and description of Direct Loan funding methods. It important to understand that the funding method a school uses impacts the school's cash flow.

Direct Loan Funding Methods for Full and Phase-in Participants

DIRECT LOAN			
COD Funding Terminology	**Legacy Funding Terminology**	**When School Can Submit Actual Disbursements**	**When COD Posts Disbursement**
Advance Pay	DL Option 2	No more than 7 days before disbursement date	No earlier than 7 days before disbursement date
Pushed Cash	DL Option 2 DL Option 1 DL Standard Origination	No more than 7 days before disbursement date	No earlier than 7 days before disbursement date
Cash Monitoring 1 (CM1)	DL Option 2 DL Option 1 DL Standard Origination DL Reimbursement	No more than 7 days before disbursement date	No earlier than 7 days before disbursement date
Cash Monitoring 2 (CM2)	DL Reimbursement	On or after disbursement date	Upon review by Case Management
Reimbursement	DL Reimbursement	On or after disbursement date	Upon review by Case Management

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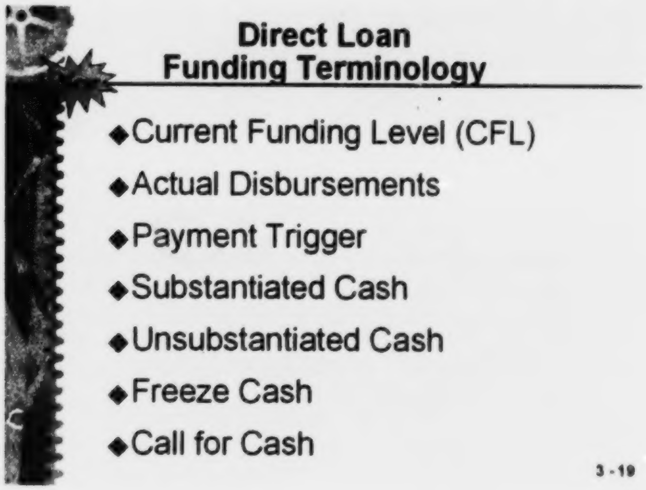


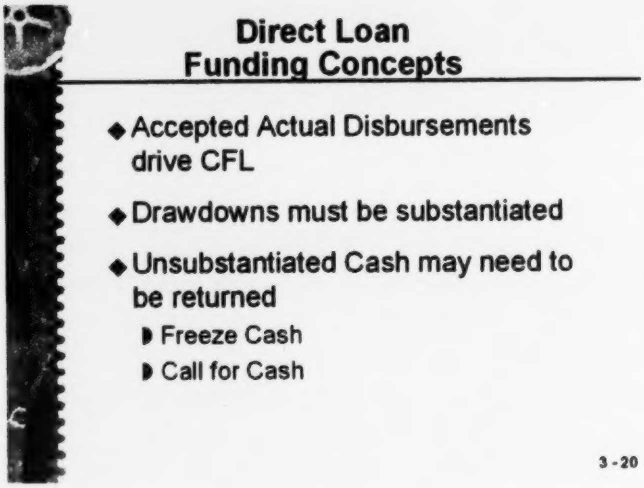
Direct Loan Funding Terminology

- ◆Current Funding Level (CFL)
- ◆Actual Disbursements
- ◆Payment Trigger
- ◆Substantiated Cash
- ◆Unsubstantiated Cash
- ◆Freeze Cash
- ◆Call for Cash

3-19

Direct Loan Funding Terminology

Before reviewing the concepts of the funding process, let's become familiar with the funding terminology. The definitions for each of these key terms may be found in either the Key Terms section (pages 3-2 to 3-4) or in the Glossary (Appendix A).



Direct Loan Funding Concepts

- Accepted Actual Disbursements drive CFL
- Drawdowns must be substantiated
- Unsubstantiated Cash may need to be returned
  - Freeze Cash
  - Call for Cash

3-20

Direct Loan Funding Concepts

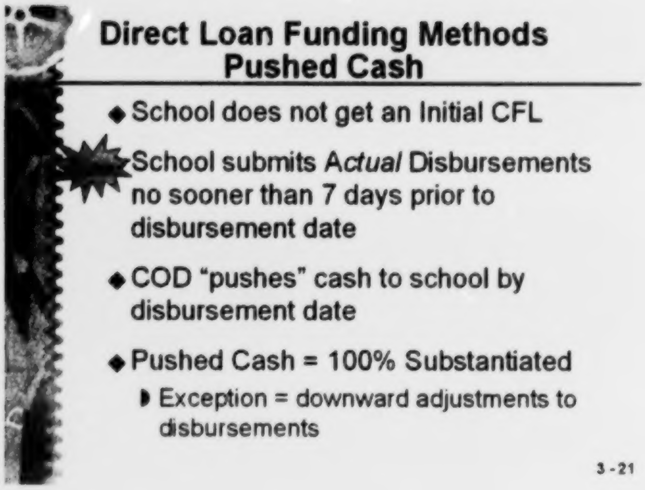
Because the various funding methods impact a school's cash flow, let's review the funding concepts and focus on some important changes.

Under the COD process, a school's Current Funding Level (CFL) and Available Balance are continuously impacted by the amount of actual disbursements submitted to and accepted by the COD System and by the amount of funding the school receives. The notion of accepted *actual disbursements* driving the funding level calculation is a big change for the Direct Loan Program, since funding was based on *anticipated* disbursements under the DLOS process.

Another change for the Direct Loan Program is that a school's funding method and the method it uses to print promissory notes are no longer linked.

On the other hand, the cash management rules that applied to the DLOS process have not changed. Schools still are required to account for the funds received and to submit their Direct Loan disbursements within 30 days of disbursement. Under the COD process, to account for funds is to "substantiate cash." While the term is new, the concept is not.

- If the school does not substantiate funds in a timely manner, a Freeze Cash request goes into effect, and the school will be unable to draw more funds until the previous draws are substantiated
- After the Freeze Cash request, if the school continues to fail to substantiate drawn funds, a Call for Cash will be issued and the school will be required to return all unsubstantiated funds



Direct Loan Funding Methods Pushed Cash

- School does not get an Initial CFL
- School submits *Actual* Disbursements no sooner than 7 days prior to disbursement date
- COD "pushes" cash to school by disbursement date
- Pushed Cash = 100% Substantiated
  - Exception = downward adjustments to disbursements

3-21

Direct Loan Funding Methods: Pushed Cash

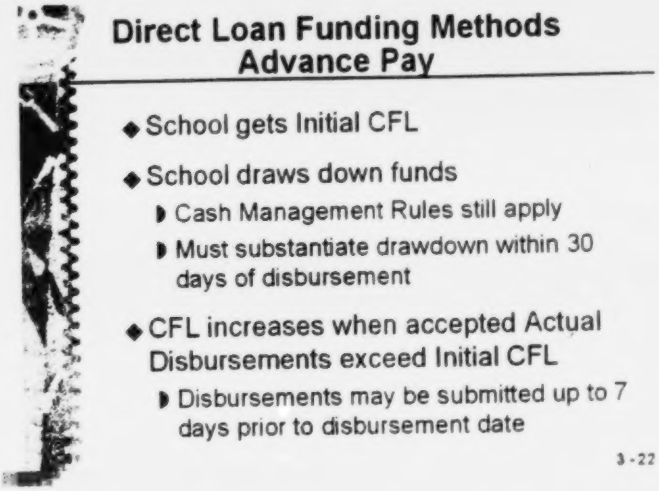
The option of having COD initiate drawdowns on the school's behalf is called Pushed Cash. Under the Pushed Cash funding method, Direct Loan funds are automatically deposited into the school's federal bank account based on actual disbursement data accepted by the COD System. Using this funding method, schools can submit actual disbursement data for Direct Loan awards up to seven days before the disbursement date. Actual disbursements submitted earlier will be rejected.

Schools using the Pushed Cash funding method do not have a Current Funding Level until the COD System accepts and posts the actual disbursements. In addition, because funds are pushed to the schools only when actual disbursements are accepted by the COD System, the substantiated cash for these schools is always at 100%.

While no action other than submitting actual disbursements is needed from the school to receive funds, schools must act to return excess cash when a downward adjustment to a disbursement is made.

Note:

Direct Loan funds pushed to schools are for specific loans/students.



Direct Loan Funding Methods
Advance Pay

- School gets Initial CFL
- School draws down funds
  - Cash Management Rules still apply
  - Must substantiate drawdown within 30 days of disbursement
- CFL increases when accepted Actual Disbursements exceed Initial CFL
  - Disbursements may be submitted up to 7 days prior to disbursement date

3-22

Direct Loan Funding Methods: Advance Pay

If a school uses the Advance Pay funding method, an initial Current Funding Level (CFL) is set at the beginning of the award year. This initial CFL makes funds available to the school to cover the initial Direct Loan disbursements made to students. An Advance Pay school is able to draw down funds, which, under Cash Management Rules, must be disbursed within three business days.

The initial CFL is increased based on a percentage of accepted actual disbursements that the school submits and the COD System accepts. In addition, the school's Available Balance is adjusted based on the CFL and the drawdowns the school made.

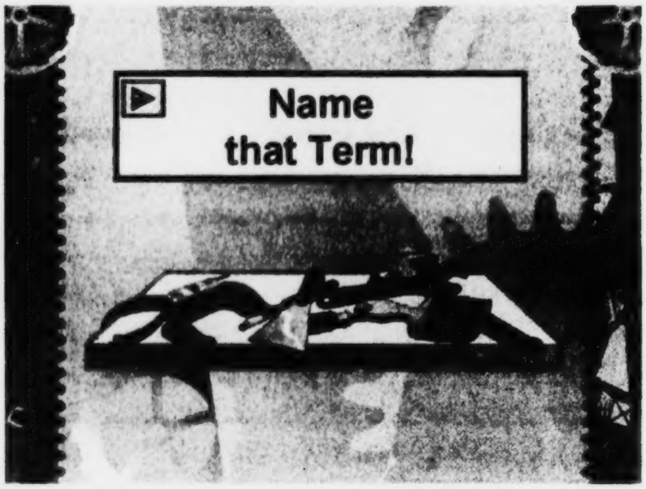
Under the COD process, schools who choose the Advance Pay funding method should keep in mind:

- Accepted actual disbursements drive the CFL calculation
- The CFL and drawdowns drive the school's Available Balance
- All funds drawn down must be substantiated with accepted actual disbursements within 30 days of the disbursement date
- If the school does not substantiate funds in a timely manner, a Freeze Cash request goes into effect, and the school will be unable to draw more funds until the previous draws are substantiated
- After the Freeze Cash request, if the school continues to fail to substantiate drawn funds, a Call for Cash will be issued and the school will be required to return all unsubstantiated funds

Submitting actual disbursements prior to the disbursement date ensures that the school never deals with Freeze Cash or Call for Cash situations.

Note:

While Direct Loan Schools may expect to continue to have substantial funding levels, they should monitor the level regularly and understand that the CFL is impacted by a percentage of the accepted actual disbursements.



Name
that Term!

Name that COD Term

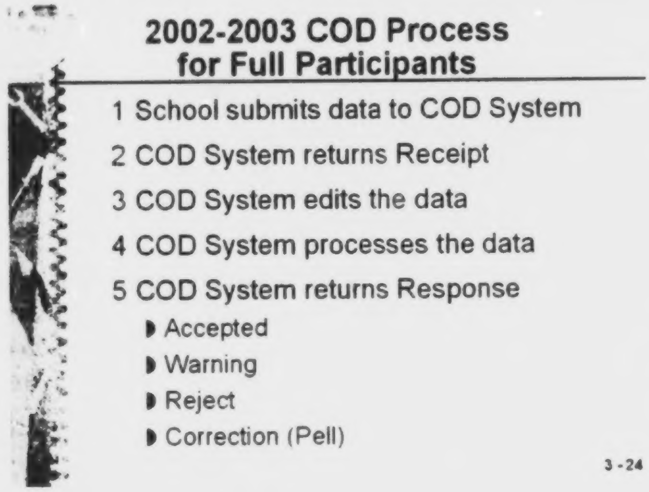
This exercise helps you to recognize and remember COD terms that have been discussed.

Learning Activity

Instructions:

1. Put on your COD thinking cap and play "Name That Term!"
2. Join your small group and select a scorekeeper.
3. As each slide is displayed, the first person to call out and correctly identify the term scores a point for the team. If the answer is incorrect, the team loses a point.

The team with the most points earns a treat. Good luck!



2002-2003 COD Process for Full Participants

1 School submits data to COD System

2 COD System returns Receipt

3 COD System edits the data

4 COD System processes the data

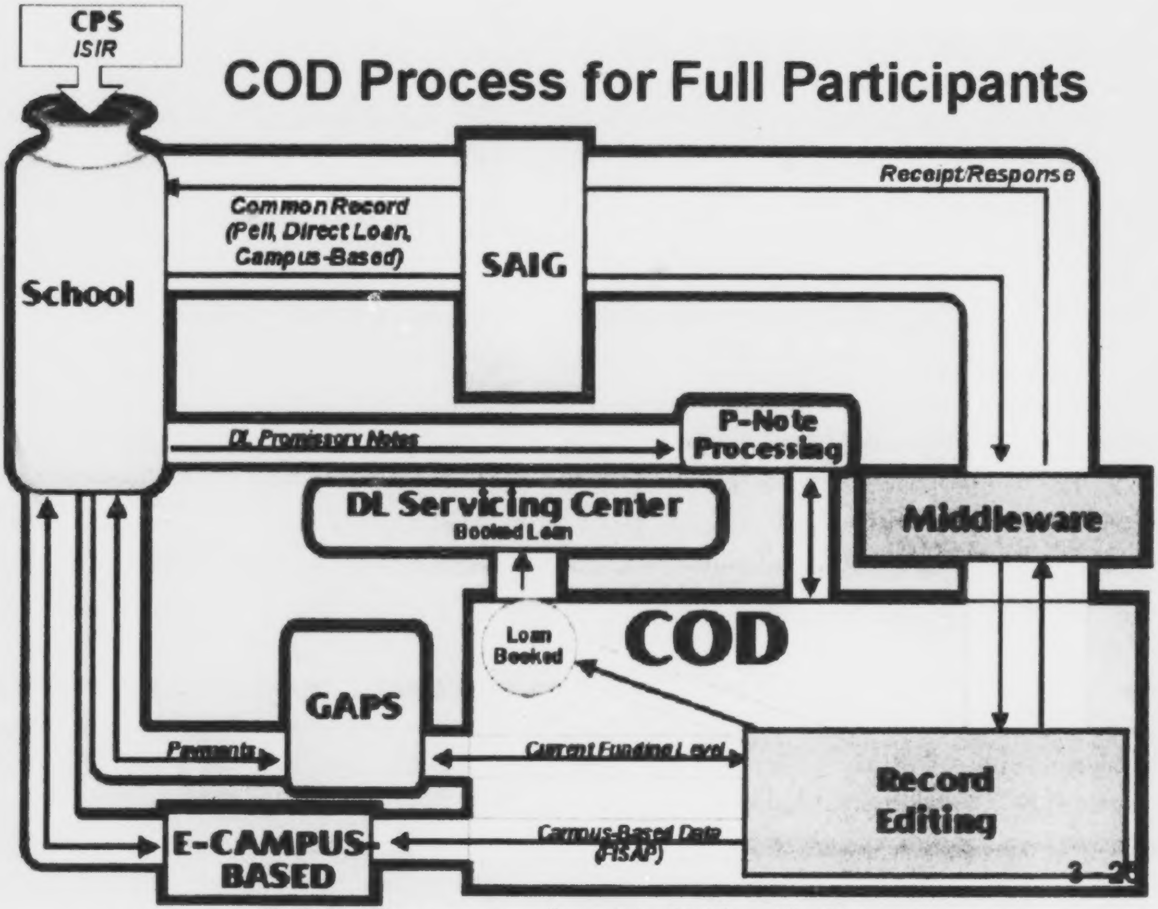
5 COD System returns Response

- Accepted
- Warning
- Reject
- Correction (Pell)

3-24

2002-2003 COD Process for Full Participants

Full Participants that participate in the Pell Grant Program may opt to have the COD System correct Pell Grant data rather than reject it. This option is discussed more fully in the next session.


CPS
ISIR
COD Process for Full Participants
School
SAIG
Common Record
(Pell, Direct Loan,
Campus-Based)
Receipt/Response
P-Note
Processing
DL Promissory Notes
DL Servicing Center
Booked Loan
Middleware
Loan
Booked
COD
GAPS
Payments
Current Funding Level
Record
Editing
E-CAMPUS-
BASED
Campus-Based Data
(FISAP)
3-2

COD Process for Full Participants

Note:

Pages 5 - 6 of Appendix B include a more detailed outline of the one common process that Full Participants follow in processing and reporting Pell Grants and Direct Loans.

Key Learning Points

True or False

_________ 1. For a school whose Pell Grant funding method is Advance Pay, the Initial Current Funding Level is akin to the Initial Authorization.

_________ 2. Phase-in Participants submit Pell Grant Program and Direct Loan Program origination and disbursement data using the Common Record.

_________ 3. Accepted actual disbursements substantiate funds already drawn down by an Advance Pay school.

_________ 4. Under the COD Process, Pushed Cash schools can draw down from GAPS funds needed to disburse within three business days.

Identify the Following

5. For each of the following, identify the correct COD System edit types that apply:

____________________ a. Pertains only to Pell Grant data

____________________ b. Must be resolved so that processing of the data may continue

____________________ c. Indicates that the school *may* need to take further action

____________________ d. COD System automatically corrects Pell Grant data

____________________ e. May be viewed and resolved via COD Web Site by Full Participants

6. For each of the following, identify the correct program (Pell Grants, Direct Loans or both) to which the processing change applies:

a. __________________ Student Identifier

b. __________________ Records processed by the COD System for 2002-2003

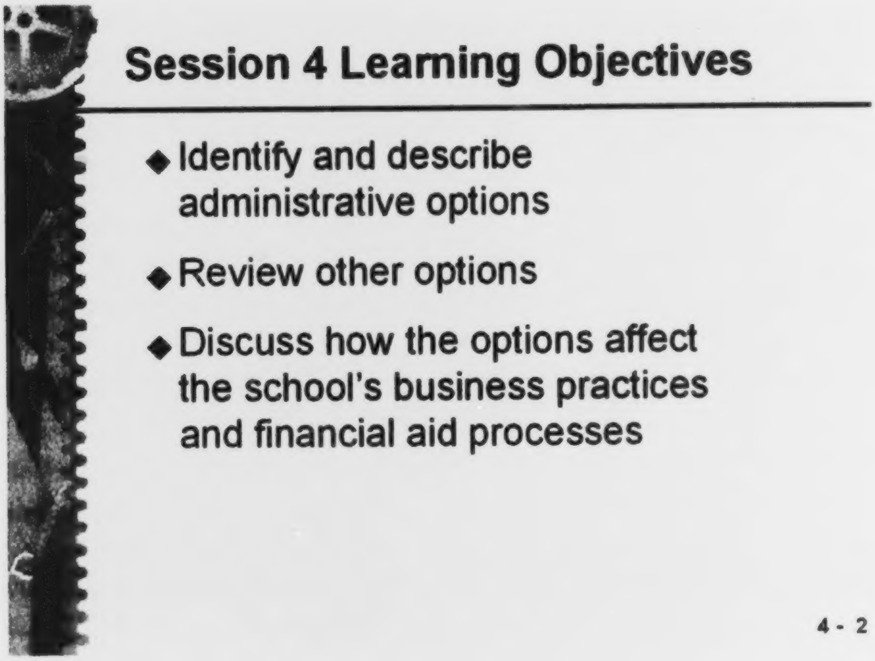
c. __________________ POP overawards allowed to exist for 30 days

d. __________________ Prior year data will be migrated to the COD System by year end

e. __________________ Added cents to the award amount

f. __________________ Funding no longer tied to P-Note processing

Session 4 — Administrative Options



Session 4 Learning Objectives

- Identify and describe administrative options
- Review other options
- Discuss how the options affect the school's business practices and financial aid processes

Key Terms

Administrative Cost Allowance (ACA)

Money paid to schools to offset some of the cost of delivering financial aid to students. For the Federal Pell Grant Program, the amount is $5 for each Pell Grant recipient at a school, including students who withdrew or transferred from the school, even if all Federal Pell Grant funds were recovered.

Full Response

A Response Record option for Full Participants where all data elements reported, as well as all edits and summary information about the data reported, will be returned to the school (see Standard Response).

Processing Options

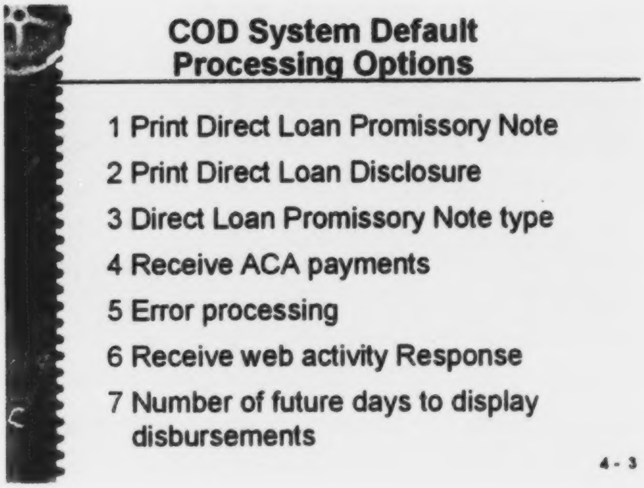
COD processing default options that schools may override as appropriate. Includes:

- Printing promissory notes
- Printing disclosure statements
- Selecting promissory note type
- Setting the number of future days for displaying disbursements
- Receiving web activity responses
- Receiving automatic deposits of the Administrative Cost Allowance, and/or
- Error Processing for Pell Grants

These options may be set via the Common Origination and Disbursement Web Site.

Standard Response

A Response Record option for Full Participants that includes information (reject codes and explanation) pertaining only to those elements that did not pass edits (see Full Response).



COD System Default Processing Options

1 Print Direct Loan Promissory Note
2 Print Direct Loan Disclosure
3 Direct Loan Promissory Note type
4 Receive ACA payments
5 Error processing
6 Receive web activity Response
7 Number of future days to display disbursements

4-3

COD System Default Processing Options

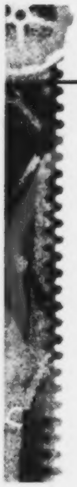
The COD System provides your school with many administrative options that offer considerable flexibility in how your school's processes and procedures are organized.

Administrative options refer both to the system settings that the schools update via the COD Web Site, as well as other options that pertain more to how schools choose to conduct their day-to-day business. These options allow schools the flexibility to customize how they interface with and use the COD System. The school's security administrator can update all of these options via the COD Web Site.

Understanding these options is important, since some will impact not only the financial aid office but also the school's business office. It is equally important to understand the resources and the level of effort each option requires.

Note:

Option 5 listed on slide 4-3 is available only to Full Participants.



COD System Default Direct Loan Processing Options

1 Print Direct Loan Promissory Note
- School vs. COD System
- Default = school's current option

2 Print Direct Loan Disclosure
- School vs. COD System
- Default = school's current option

3 Direct Loan Promissory Note type
- Single year vs. multi-year
- Default for eligible schools = multi-year

4 - 4

COD System Default Processing Options

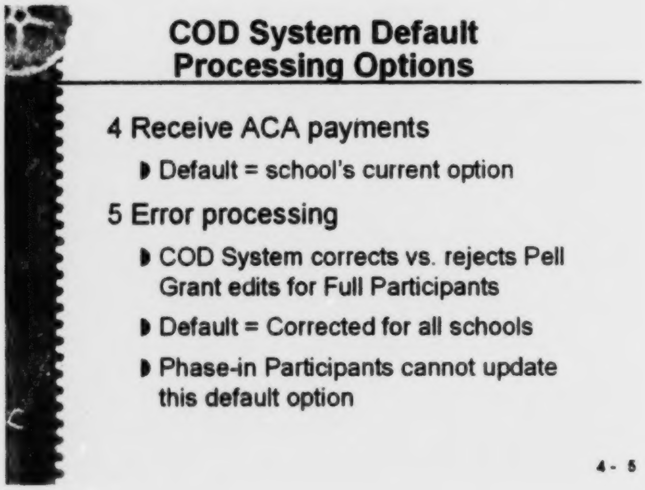
Direct Loan schools have considerable flexibility in deciding how promissory notes and disclosures are printed. Not only can schools set the print defaults at a system level, they also can override the option settings on a student by student basis.

Consider the following example. A Direct Loan school sets the COD System so that the school prints the promissory notes and disclosures. However, due to a technical problem encountered at the school, the school is temporarily unable to print. To have the COD System print those particular promissory notes and disclosures, the school simply overrides the print setting at the student record level and sends that request to the COD System.

A school's default settings are carried over from the DLOS to the COD System based on the school's current processing options or profile.

Notes:

1. *Pages 4-7 and 4-8 contain charts detailing the various options, the valid COD System values and the COD System default values. The charts also indicate to which schools—Full Participant or Phase-In Participant—the individual options apply.*
2. *For more detailed information on COD System options, refer to the 2002-2003 COD Technical Reference and Implementation Guide.*



COD System Default Processing Options

4 Receive ACA payments
- Default = school's current option

5 Error processing
- COD System corrects vs. rejects Pell Grant edits for Full Participants
- Default = Corrected for all schools
- Phase-in Participants cannot update this default option

4 - 5

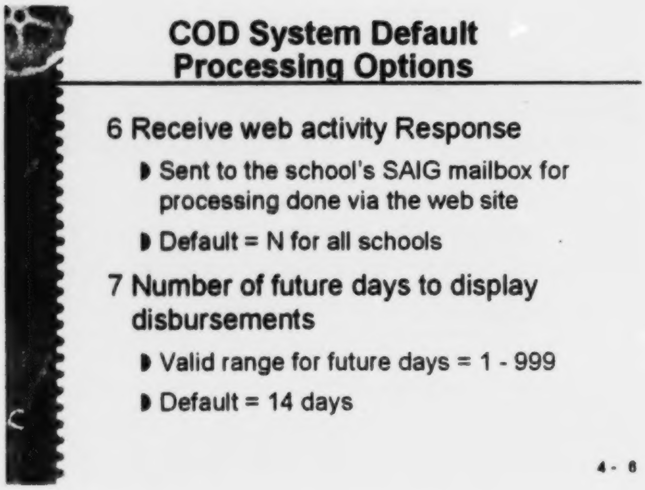
COD System Default Processing Options

The two system default options listed on slide 4-5 pertain to schools that participate in the Pell Grant Program. Those schools have the option of receiving an Administrative Cost Allowance (ACA) to help offset the administrative costs incurred in administering the Pell Grant Program on their campuses.

Full Participants that participate in the Pell Grant Program also have an option regarding how the COD System processes Pell Grant data. The error processing option determines whether certain Pell Grant data edits are enforced as rejections or whether the COD System is allowed to apply corrections.

Notes:

1. *The Pell Grant error processing option applies only to Full Participants. Phase-in Participants will continue to receive corrected data.*
2. *Full Participants should refer to Appendix E of the 2002-2003 COD Technical Reference for a complete listing of COD System edit comment codes and descriptions.*



COD System Default Processing Options

6 Receive web activity Response

- Sent to the school's SAIG mailbox for processing done via the web site
- Default = N for all schools

7 Number of future days to display disbursements

- Valid range for future days = 1 - 999
- Default = 14 days

4 - 6

COD System Default Processing Options

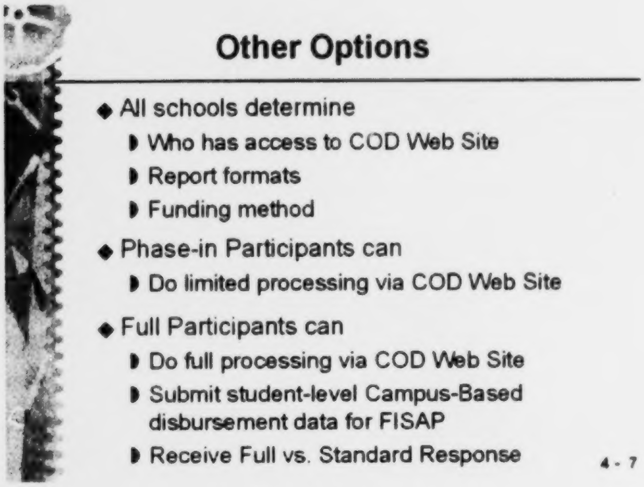
Full Participants can have Responses pertaining to processing done via the COD Web Site sent to their SAIG mailboxes. Using this option allows these schools to import the data contained in the Responses into their schools' databases.

All schools also have the option of setting the number of days into the future that disbursements can be viewed via the COD Web Site: While the valid range for future days is limited to 999, the number of days in the past that anticipated disbursements can be viewed is unlimited.

COD System Default Processing Options for Full Participants and Phase-in Participants

*COD System Default Processing Options *School administrator may update at any time via COD Web Site	COD System Values	COD System Default Value	Full	Phase-In
Print Direct Loan Promissory Note Determines who prints the Promissory Note	**Y** = COD System prints **N** = School prints	School's current option	✓	✓
Print Direct Loan Disclosure Determines who prints the Disclosure	**Y** = COD System prints **N** = School prints	School's current option	✓	✓
Direct Loan Promissory Note type Determines whether single-year or multi-year feature is applied to a Promissory Note	**Single-Year** = Borrower must sign note each academic year **Multi-Year** = Borrower does not sign note each academic year	**Single-Year** for schools not eligible for multi-year *or* **Single-Year** for schools eligible for multi-year but that opt for Single-Year **Multi-Year** for eligible schools	✓	✓
Receive Pell Grant Administrative Cost Allowance (ACA) Determines if school will receive Pell Grant Administrative Cost Allowance	**Y** = School receives ACA **N** = School does not receive ACA	School's current option	✓	✓
Receive Web activity Response (Full Participant) or Acknowledgement (Phase-in) Determines if school will receive Response regarding Web activity via SAIG mailbox	**Y** = Response for Web activity sent to school's mailbox **N** = Response for Web activity not sent to school's mailbox	**N** for all schools	✓	✓

***COD System Default Processing Options** *School administrator may update at any time via COD Web Site	**COD System Values**	**COD System Default Value**	**Full**	**Phase-In**
Error Processing Determines whether Pell Grant data edits are enforced as rejections or corrected	**Corrected** = Certain Pell Grant data edits will allow COD System to apply corrections **Rejected** = Certain Pell Grant data edits will be enforced as data rejects	**Corrected** for all Pell Grant schools	✓	
Number of future days to display disbursements Determines the number of days into the future that a school can view disbursements (No limit on number days in the past)	**1 - 999** (days)	**14** (days)	✓	✓



Other Options

- All schools determine
  - Who has access to COD Web Site
  - Report formats
  - Funding method
- Phase-in Participants can
  - Do limited processing via COD Web Site
- Full Participants can
  - Do full processing via COD Web Site
  - Submit student-level Campus-Based disbursement data for FISAP
  - Receive Full vs. Standard Response

4 - 7

Other COD System Options

In addition to the COD System default processing options and funding method options, other administrative options are available to schools:

- Each school determines who from the school will have access to the COD Web Site, as well as the level of access
- All schools can select the reports they want to retrieve and the report formats
- Full Participants can submit student-level Campus-Based disbursement data at any point during the award year to have the income grid of the FISAP pre-populated
- Phase-in Participants can do much of the same online processing as can Full Participants
  - Phase-in Participants cannot create new records, create actual disbursements, or resolve rejects
- Full Participants can do full processing online
- Full Participants can receive Full or Standard Responses
  - Full Response contains all data elements reported and all edits and summary information about the data submitted via the Common Record

All of these options provide schools considerable flexibility and control.

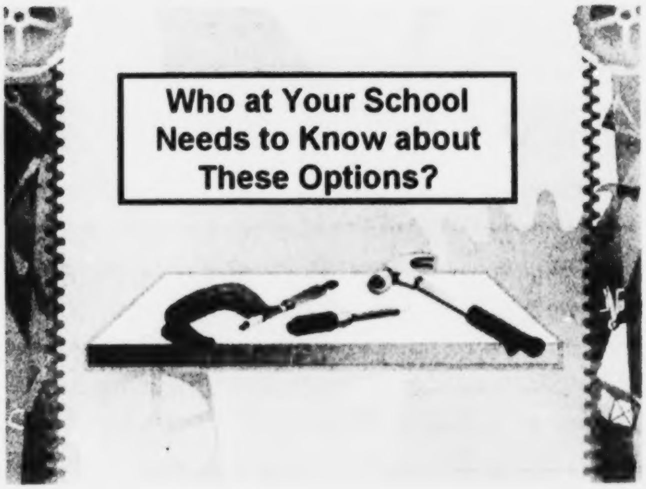
Note:

See page 4-10 for a chart that provides additional information about the administrative options referenced on this page.

COD System Other Processing Options for Full Participants and Phase-in Participants

Other Options	COD System Values	COD System Default Value	Full	Phase-In
Submit Campus-Based Program data for FISAP at any time during the award year			✓	
Receive Full Response containing all data elements reported and all edits and summary information about the data submitted for Common Record processing activity	**Full** Response **Standard** Response	**Standard** Response	✓	
Full online COD processing via COD Web Site (records are entered and submitted one at a time vs. batch processing via SAIG)			✓	
Partial online COD processing via COD Web Site (view records and rejects, update records and request reports)				✓
Request report files or generate reports online via the COD Web Site			✓	✓
Assign access to COD Web Site			✓	✓

BEST COPY AVAILABLE



Who at Your School Needs to Know about These Options?

Determining Your School's Best Options

Recognize that the COD System default processing options your school selects impact the school's business practices and financial aid processing is important. It is also important to share this information with others on campus who have the authority to make these decisions.

🕮 Learning Activity

Instructions:

1. Get with your small group and select a spokesperson.
2. Refer to the charts on pages 4-7, 4-8, and 4-10 to review the various options.
3. Identify the issues that all of you should take back to your respective schools and with whom you should share this information. Use the space provided below to jot down questions or to make your list.
4. Be prepared to share your small group's discussion with the entire group.

Key Learning Points

Complete the exercises below to check what you learned about the key points presented in this session.

True/False

_________ 1. The Web Activity Response Option determines whether the COD System will send Response Records to a Full Participant's SAIG mailbox for activity initiated on the COD Web Site.

_________ 2. Direct Loan schools have the option of printing promissory notes and disclosures themselves.

_________ 3. Phase-in Participants do not have the option of sending in Campus-Based Program student-level award data.

_________ 4. Only staff members from the financial aid office may have access to the COD Web Site.

_________ 5. Phase-in Participants have the option of viewing rejected data online via the COD Web Site.

_________ 6. Full Participants have the option to create new records online via the COD Web Site.

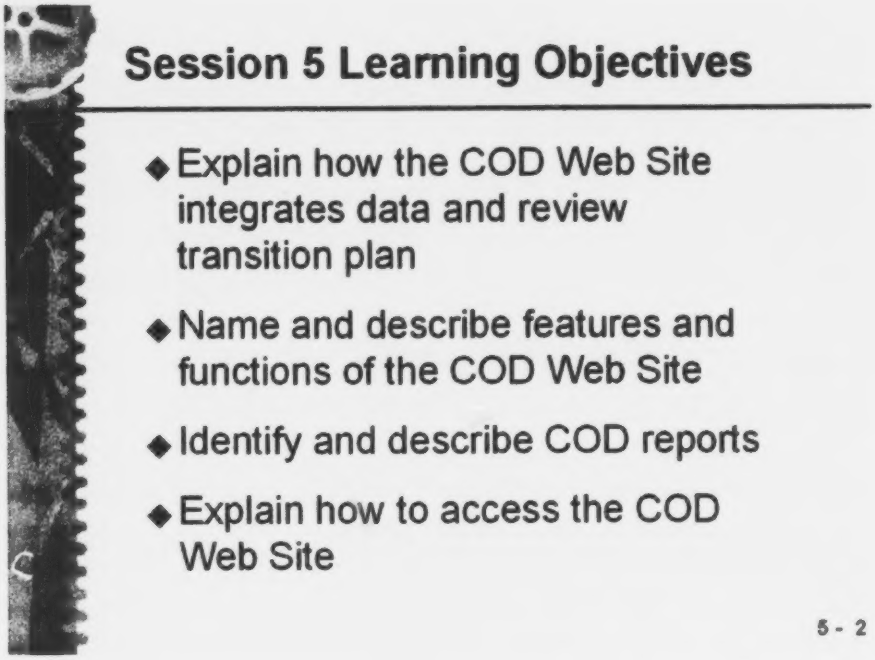
_________ 7. Full Participants have the option of submitting Campus-Based student-level award information to pre-populate the FISAP but must do so at the end of each semester.

_________ 8. The option of setting the number of future days to display disbursement applies to both Pell Grant and Direct Loan schools.

_________ 9. Direct Loan schools may opt to receive ACA payments.

_________ 10. Because the COD System default options pertain only to the financial aid office, there is never a need to discuss the options with other staff at the school.

Session 5 — COD Web Site



Session 5 Learning Objectives

- Explain how the COD Web Site integrates data and review transition plan
- Name and describe features and functions of the COD Web Site
- Identify and describe COD reports
- Explain how to access the COD Web Site

5 - 2

Key Terms

COD School User Role

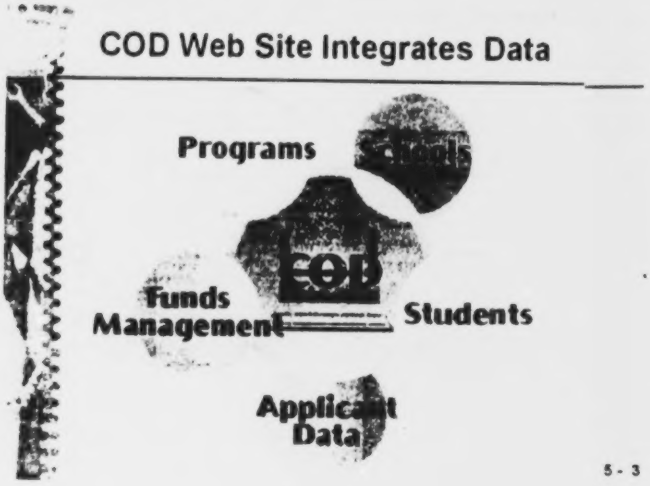
Level of access to the COD Web Site assigned to an individual. User Roles include School Credit Check, School View Only, School View/Update, School View/Update CC, and School Admin.

Financial Aid Contact

Individual designated from a school to be contacted by the COD Customer Service and others as needed. Contact types include Financial Aid Administrator, Chief Financial Officer, President/Chancellor/CEO, Direct Loan Financial Aid Officer, and Pell Financial Aid Officer. For the Direct Loan and Pell Financial Aid Officer contact types, information can be updated and new contacts can be added via the COD Web Site. Contact information for the Financial Aid Administrator, Chief Financial Officer, and President/Chancellor/CEO is updated via the Application/Certification (E-App) site located at www.eligcert.ed.gov

School Administrator

Individual designated by a school to set up and maintain user access to the COD Web Site. Includes creating, viewing, and updating school users; resetting passwords; locking out users from the COD Web Site; updating the school's address and contact information, etc.



COD Web Site Integrates Data

5 - 3

COD Web Site Integrates Data

One of the key benefits of the COD Web Site is that it integrates data from the Federal Pell Grant Program, the William D. Ford Federal Direct Loan Program, and the Campus-Based Programs. The COD Web Site also integrates applicant data from the CPS and funds management data from GAPS. This means that, rather than having to go to different Web sites to get program, applicant, and funding information, schools can access all the information they need in one place—the COD Web Site.

In addition, the COD Web Site gives users access to data at different levels, including:

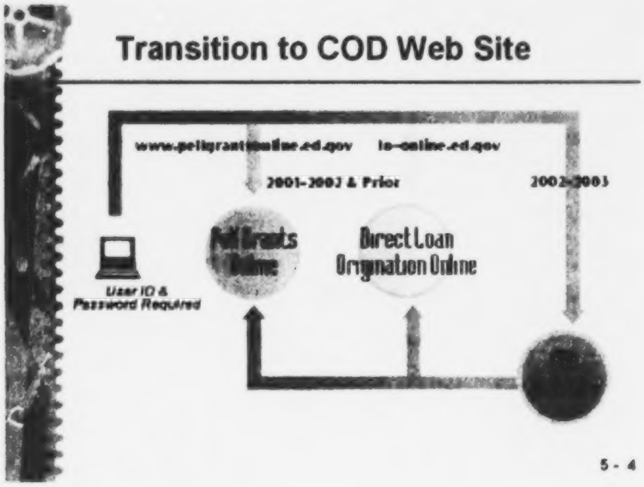
- Student
- School
- Program

Note:

The COD Web Site is the window into the COD System. This site provides schools a tremendous amount of self-help. Use it to see data pertaining to your students, your school, and the Pell Grant and Direct Loan Programs (and potentially Campus-Based Programs) your school administers.

Challenge:

How will having one web site that integrates Pell Grant, Direct Loan, and Campus-Based data improve your school's financial aid processing?



Transition to COD Web Site

www.pellgrantsonline.ed.gov
lo-online.ed.gov
2001-2002 & Prior
2002-2003
Pell Grants Online
Direct Loan Origination Online
User ID & Password Required

5 - 4

Transition to COD Web Site

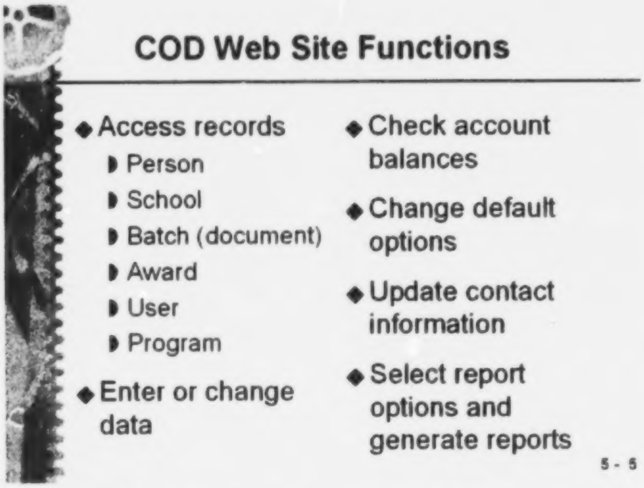
Like the entire COD Process and System, the COD Web Site becomes operational for Award Year 2002-2003. All 2002-2003 Pell Grant, Direct Loan, and Campus-Based Program data reported to the COD System will be accessible via the COD Web Site.

For 2001-2002 and prior year information, school users will continue to access Pell Grants Online or Direct Loan Origination Online until the RFMS and DLOS processing systems are retired and the data is migrated to the COD System.

Data migration is projected to be complete by the end of the 2002 calendar year.

Notes:

1. *Pell Grants Online is located at www.pellgrantsonline.ed.gov*
2. *Direct Loan Origination Online is located at lo-online.ed.gov*
3. *Direct Loan Servicing Online is located at www.dlservicer.ed.gov*
4. *Direct Loan Master Promissory Note (e-MPN) is located at dlenote.ed.gov*
5. *Direct Loan Servicing Online and the Direct Loan Master Promissory Note sites are not being retired and will continue to operate.*



COD Web Site Functions

- Access records
  - Person
  - School
  - Batch (document)
  - Award
  - User
  - Program
- Enter or change data
- Check account balances
- Change default options
- Update contact information
- Select report options and generate reports

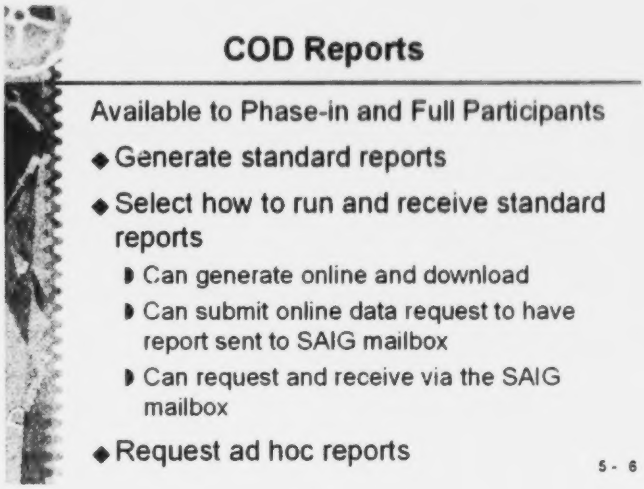
5 - 5

COD Web Site Functions

All schools—both Phase-in and Full Participants—have access to the COD Web Site to search the database, view records, retrieve reports requests, and get other useful information.

- Search for and view data by:
  - Person (student), Promissory Note or Credit Check
  - School (Entity ID: Common School Identifier, Pell ID, Direct Loan ID or OPE ID)
  - Batch (Accepted or Rejected)
  - Award
  - User (FAA)
  - Program
- Access various processing statistics by batch:
  - Number of records submitted, accepted, rejected or corrected
  - Percentage of records rejected by edit type
  - Date and time records were received
- View consolidated funding information by award year and program:
  - Dollar total drawn to date by program
  - Number of accepted records to date
  - Progress toward 30 day requirement for substantiating drawdowns/disbursements
- View and correct rejected records
- View processing errors
- View pended records
- Update Financial Aid Contact Information

Remember, some COD Web Site functions, such as entering new records and correcting rejects, are available only to Full Participants. In addition, access to other functions, as well as the processing options set by your school's security administrator, is based on the web site access assigned to individual users.



COD Reports

Available to Phase-in and Full Participants

- ◆ Generate standard reports
- ◆ Select how to run and receive standard reports
  - Can generate online and download
  - Can submit online data request to have report sent to SAIG mailbox
  - Can request and receive via the SAIG mailbox
- ◆ Request ad hoc reports

5 - 6

COD Reports

One particularly powerful feature of the COD Web Site is its reporting capability. All users—Phase-in Participants as well as Full Participants—can retrieve reports online, download reports to PDF or Excel files and request that report data files be sent to their SAIG mailboxes.

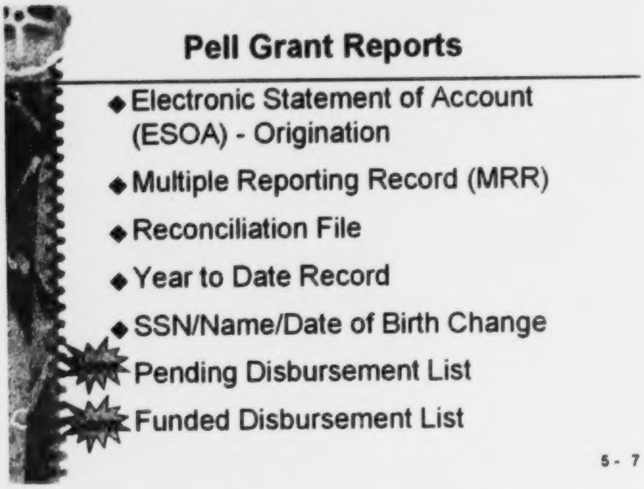
Available report formats include:

- PDF
- Excel
- Delimited data file (Direct Loans only)
- Preformatted text (Direct Loans only)
- Fixed length data file

In addition to being able to access the same standard reports that were available from the RFMS and DLOS, users are able to request a number of ad hoc reports through the COD Customer Service Center. A few examples of the various ad hoc reports include Awards, Cash Balance and Credit Decision.

Notes:

1. *Report formats differ according to report type and by program.*
2. *Schools continue to be able to submit requests and receive reports via the SAIG.*
3. *All reports continue to be available in all current formats. In addition, reports can be downloaded from the COD Web Site in PDF or Excel.*



Pell Grant Reports

- Electronic Statement of Account (ESOA) - Origination
- Multiple Reporting Record (MRR)
- Reconciliation File
- Year to Date Record
- SSN/Name/Date of Birth Change
- Pending Disbursement List
- Funded Disbursement List

5 - 7

Pell Grant Program Reports

The COD System provides users with much of the same type of information available from the RFMS system. Reports available from the COD Web Site include:

Reconciliation File

- Can be requested for an individual student or the school's entire Pell Grant Program population
- Includes the student's name, record ID, scheduled award amount, school's award amount and amount disbursed YTD

Electronic Statement of Account (ESOA)

- Summarizes the status of a school's Current Funding Level versus the amount expended to date for the award year

Year-to-Date Record

- Total year-to-date accepted Pell Grant Program disbursements for a school for an award year

SSN/Name/Date of Birth Change

- Lists changes that are submitted by the school and that do not match the CPS data on file at COD

Multiple Reporting Record (MRR)

- Identifies disbursements being reported by more than one school for the same student
- Provides schools with information to identify and resolve potential overaward payments and concurrent enrollments before they occur

Pending Disbursement List

Under construction - coming soon

- Available only via the COD Web Site

Funded Disbursement List

Under construction - coming soon

- Available only via the COD Web Site

Note:

All Pell Grant reports can be generated online and downloaded to PDF and Excel formats. In addition, with the exception of the Pending Disbursement and Funded Disbursement Lists, users can have fixed length report files sent to their schools' SAIG mailboxes

Direct Loan Reports

- School Account Statement (SAS)
- Pending Disbursement List
- Funded Disbursement List
- Inactive Loans
- Duplicate Student Borrower
- 30 Day Warning
- SSN/Name/Date of Birth Change

Direct Loan Program Reports

Direct Loan reports are available in PDF, Excel, delimited data file and preformatted text formats. The only exception is the SAS, which is available only as a delimited or fixed length data file.

School Account Statement (SAS)

- Year-to-Date Cash Summary
- Monthly Cash Summary
- Year-to-Date Disbursement Summary by Loan Type
- Monthly Disbursement Summary by Loan Type

Pending Disbursement List

- Lists anticipated disbursements (Payment Trigger = false) and disbursement dates on file on the COD System

Funded Disbursement List

- Lists actual disbursements (Payment Trigger = true)

SSN/Name/Date of Birth Change Report

- Lists changes that are submitted by the school and that do not match the CPS data on file at COD

30 Day Warning

- Lists unbooked loans for which the COD System has not received the required elements for booking a loan within 30 days of the disbursement date
- Loans that appear on this report are removed after 90 days if a promissory note has not been received and a disbursement funded through the COD System

Duplicate Student Borrower

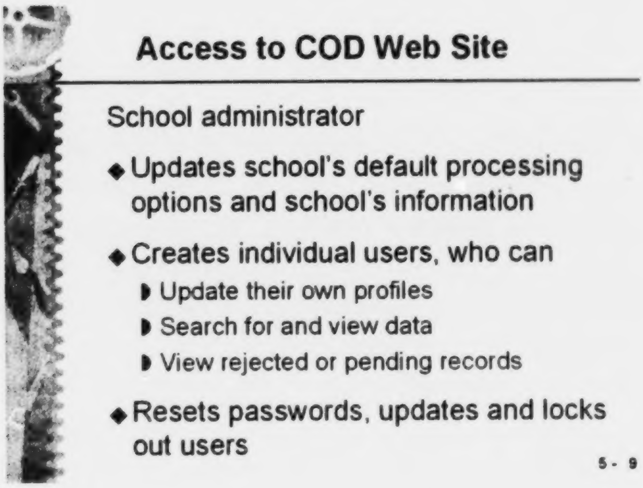
- Lists the student borrowers for which the COD System has accepted multiple Direct subsidized and unsubsidized award records with the same or overlapping academic years

Inactive Loans

- Lists all Direct Loan Program awards that have been inactivated (adjusted to $0) by the school for the reporting period

Notes:

1. *The Entrance Loan Counseling Report continues to be available from lo-online.ed.gov*
2. *The Exit Loan Counseling Report continues to be available from* www.dlservicer.ed.gov
3. *All reports continue to be available in all current formats. In addition, reports can be downloaded from the COD Web Site in PDF or Excel.*



Access to COD Web Site

School administrator

- Updates school's default processing options and school's information
- Creates individual users, who can
  - Update their own profiles
  - Search for and view data
  - View rejected or pending records
- Resets passwords, updates and locks out users

Access to COD Web Site

To get access to the COD Web Site, each school must designate a school (i.e., system) administrator. Then an administrator request letter on school letterhead must be submitted to the COD Customer Service Center at:

U. S. Department of Education
FSA Customer Service Center
P.O. Box 9003
Niagara Falls, NY 14302

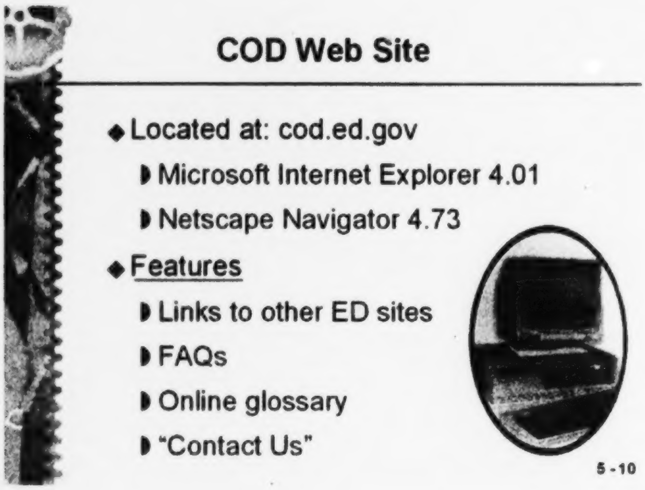
Once the request is processed, the school administrator will receive a user name and password. As a security precaution, the user name and password are sent in separate email messages.

A school administrator has access to updating the school's default processing options and contact information and is able to create user accounts to give others access to the COD Web Site according to specific user roles, including:

- School Administrator (i.e., security administrator)
- School User 1/Credit Check (Direct Loans only)
- School User 2/View Only
- School User 3/View Update
- School User 4/View/Update CC (Direct Loans only)

Notes:

1. *A user name and password are required to access the COD Web Site. Your school administrator can create a user account for you.*
2. *Schools may designate multiple school administrators.*
3. *Page 11 of Appendix B contains a learning aid that lists the steps for obtaining a user name and password for your school's designated school administrator.*



COD Web Site

- Located at: cod.ed.gov
  - Microsoft Internet Explorer 4.01
  - Netscape Navigator 4.73
- Features
  - Links to other ED sites
  - FAQs
  - Online glossary
  - "Contact Us"

5-10

COD Web Site

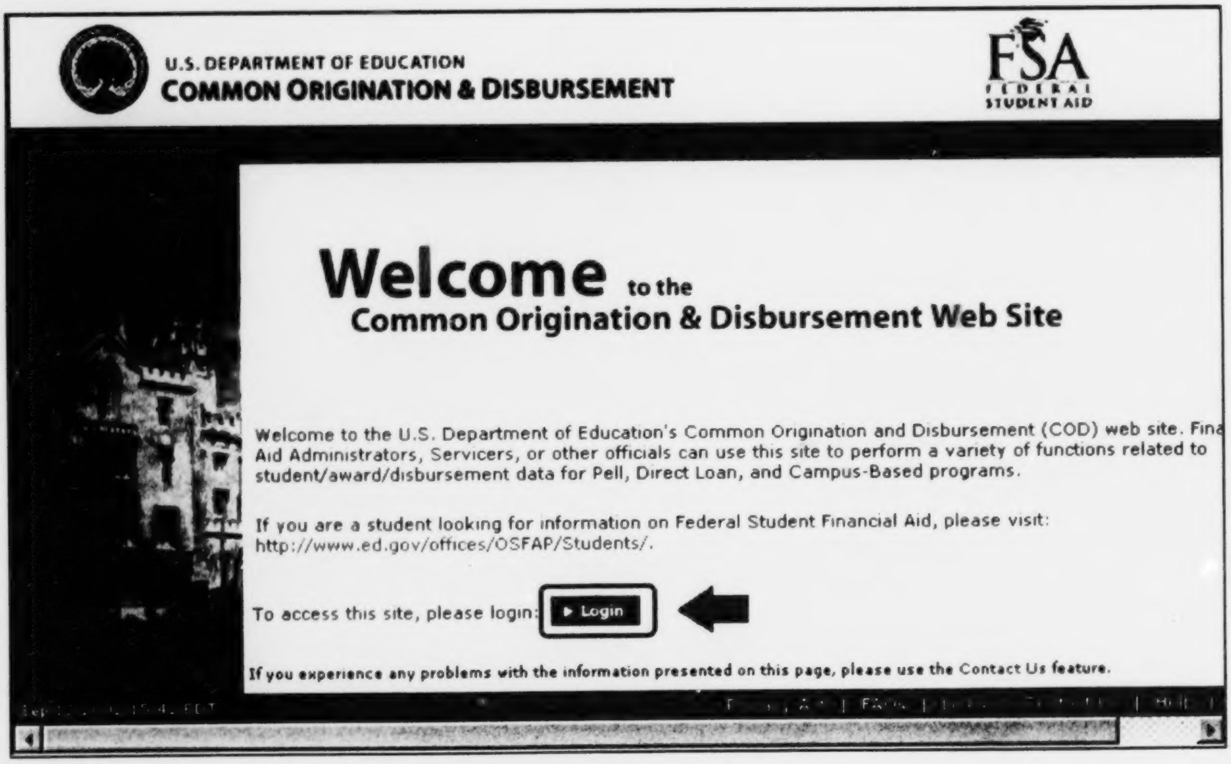
Both Full Participants and Phase-in Participants have access to the COD Web Site 24 hours a day, 7 days a week. Remember, except for creating new records and resolving rejects, Phase-in Participants have the same access as Full Participants.

Be sure to take the time to become familiar with the site's various features:

- ED Links
  - List of other ED web sites that provide additional information about the Federal Pell Grant Program, the Direct Loan Program and other Title IV student aid programs
- FAQs
  - List of frequently asked questions about COD
- Online Glossary
  - List of COD terms and definitions along with other general terms and definitions pertaining to awarding and disbursing Title IV student aid
- "Contact Us"
  - Online form for submitting feedback (problems, enhancements, comments, etc.) that is sent to the CSR for follow-up

Notes:

1. *The Common Origination and Disbursement System Web Site is located at cod.ed.gov*
2. *Remember to check for updates to the COD Web Site, including information about training on how to use the web site, via the Common Origination and Disbursement (COD) link on the Schools Portal main page, located at sfa4schools.sfa.ed.gov*



U.S. DEPARTMENT OF EDUCATION
COMMON ORIGINATION & DISBURSEMENT

FSA FEDERAL STUDENT AID

Welcome to the
Common Origination & Disbursement Web Site

Welcome to the U.S. Department of Education's Common Origination and Disbursement (COD) web site. Fina
Aid Administrators, Servicers, or other officials can use this site to perform a variety of functions related to student/award/disbursement data for Pell, Direct Loan, and Campus-Based programs.

If you are a student looking for information on Federal Student Financial Aid, please visit: http://www.ed.gov/offices/OSFAP/Students/.

To access this site, please login: ▸ Login

If you experience any problems with the information presented on this page, please use the Contact Us feature.

Things to Think about in Accessing the COD Web Site

Key Learning Points

Complete the exercises below to check what you learned about the key points presented in this session.

True/False

_________ 1. Beginning with 2002-2003, the COD Web Site completely replaces Pell Grants Online and Direct Loans Online.

_________ 2. Because COD is designed to be student-centered, the process of obtaining program information is more cumbersome for schools.

_________ 3. Full Participants who choose to submit records via the COD Web Site must remember to follow up and to go the web site to retrieve the Response notification.

_________ 4. Phase-in Participants have access to student information via the COD Web Site.

_________ 5. User names and passwords are not required to access the COD Web Site.

_________ 6. The COD Web Site is accessible only Monday through Friday, from 6 AM to 12 AM ET.

Complete the Following

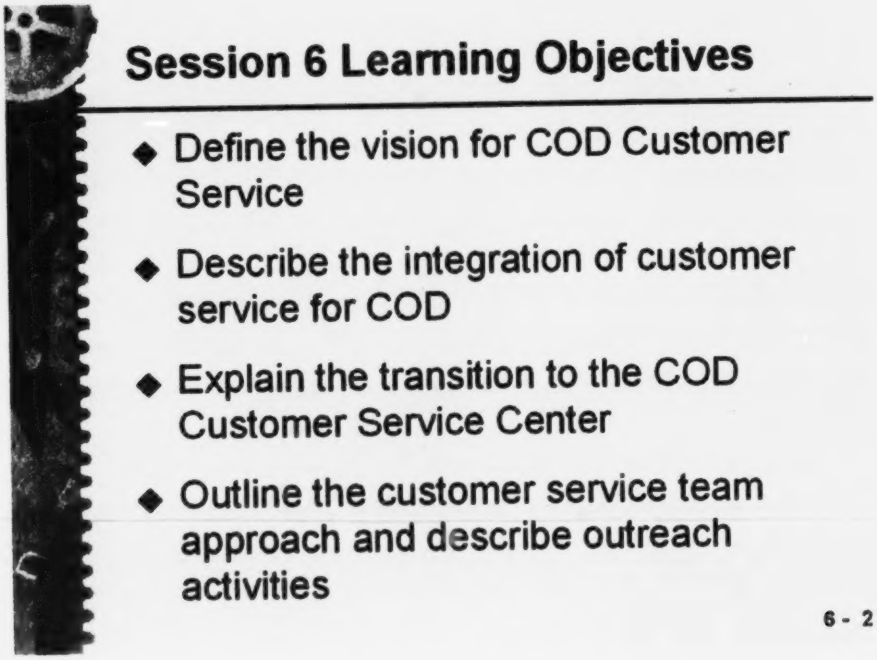
7. List at least four types of data searches that all participants can perform via the COD Web Site.

8. List the available Pell Grant report formats.

9. List the available Direct Loan report formats.

10. What method can a school use to request that a report file be sent to the school via the SAIG?

Session 6— COD Customer Service



Session 6 Learning Objectives

- Define the vision for COD Customer Service
- Describe the integration of customer service for COD
- Explain the transition to the COD Customer Service Center
- Outline the customer service team approach and describe outreach activities

Key Terms

Customer Service Representative (CSR)

Professionally trained to provide assistance and support to COD customers (schools, servicers, etc.).

Early Bird Customer Service

Customer service activities performed during the three-hour period immediately before the Customer Service Center opens (between 5 AM and 8 AM ET) to check for problems or issues with the previous night's COD processing so that action can be taken early.

Primary CSR

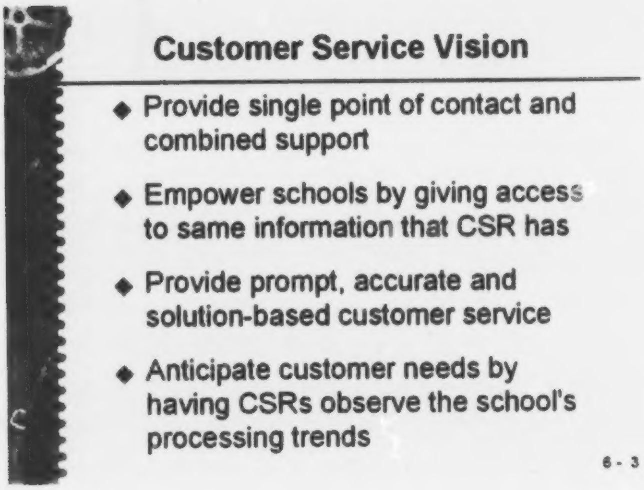
Member of a CSR team who carries primary customer service responsibilities for the school to which that particular CSR team is assigned.

Proactive Customer Service

Service that anticipates the customers' needs.

Secondary CSR

Member of a CSR team who is responsible for serving as backup to the primary CSR assigned to a particular school.



Customer Service Vision

- Provide single point of contact and combined support
- Empower schools by giving access to same information that CSR has
- Provide prompt, accurate and solution-based customer service
- Anticipate customer needs by having CSRs observe the school's processing trends

6 - 3

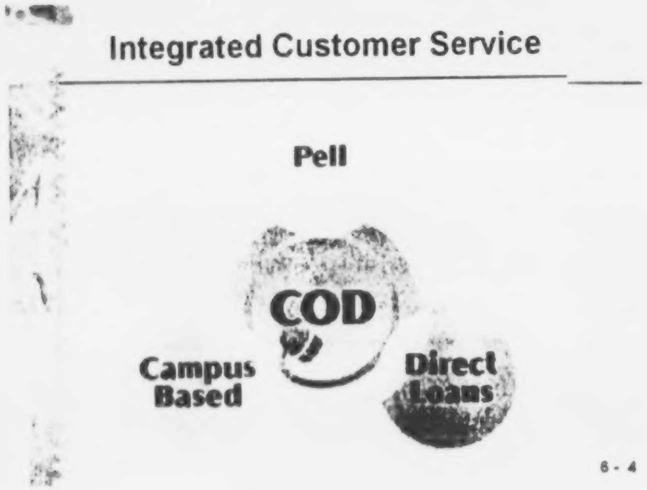
COD Customer Service Vision

The vision guiding the COD Customer Service Center is to provide prompt, solution-based customer service that is accessed via a single point of contact.

To provide such a high level of customer service, the roles and responsibilities of the COD Customer Service Center staff have been expanded. The highly skilled customer service representatives (CSRs) who serve your school are trained to analyze the root causes of problems and to work with you to come up with permanent solutions. With this additional support, your job should be much easier.

Note:

One of the most important goals for the COD Customer Service Center is to ensure that its operations are consistent with FSA's modernization initiative.



Integrated Customer Service

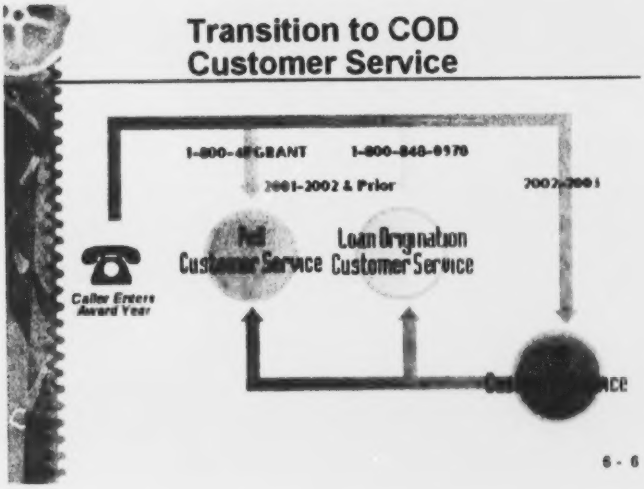
Integrated Customer Service

One of the benefits of the COD System is the integrated customer service that *all* schools, not just Full Participants, enjoy. With the integrated service, schools may expect:

- A single entry point of service
- Information sharing between customer service centers
- Consistent and thorough documentation of the schools' interactions with the COD Customer Service Center
- Assurance that their needs will be taken care of

Note:

If the CSR assisting a school determines that the issue must be directed to another customer service center, the CSR will not just "dump" the call. Instead, the CSR will call the other service center and remain on the line with your school until the problem is clearly understood by the other service center's CSR.



Transition to COD Customer Service

Transition to COD Customer Service

Like the entire COD Process and System, the COD Customer Service Center becomes operational for Award Year 2002-2003. All 2002-2003 Pell Grant, Direct Loan and Campus-Based Program data reported to the COD System will be accessible by the CSRs at the COD Customer Service Center.

Until all program data is migrated to the COD System, issues related to Award Year 2001-2002 continue to be handled by the Pell Grant Program Customer Service Center and the Direct Loan Origination Customer Service Center, as appropriate.

However, to make the transition to the COD Customer Service Center easy and transparent, schools continue to call:

- 1-800-464-7268 for customer service related to the Pell Grant Program
- 1-800-848-0978 for customer service related to the Direct Loan Program

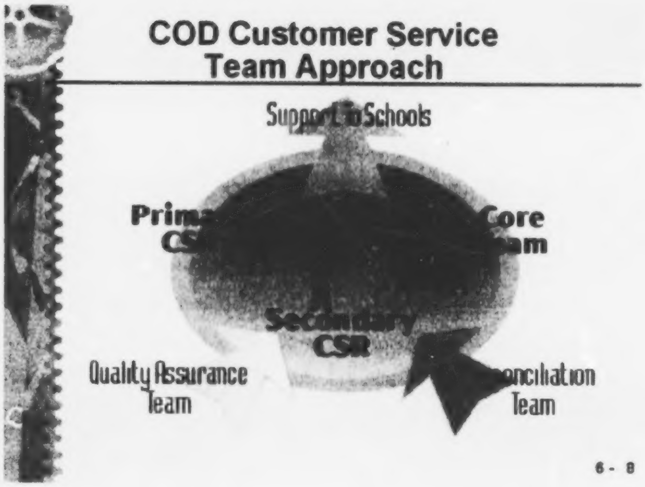
Regardless of the number dialed, all calls are funneled to a central point. Then, based on the program information and the award year the caller enters, calls are automatically routed to the appropriate customer service center.

Notes:

1. *The Direct Loan Origination Customer Service Center continues to handle credit denial appeals.*
2. *The customer service center and web site for Direct Loan Servicing are not impacted by the transition to the COD Customer Service Center and the COD Web Site.*

Challenge:

In what ways do you think the COD Customer Service Center will make your job easier?



COD Customer Service Team Approach

Customer Service Team Approach

To better meet your school's needs, COD uses a customer service team approach and assigns each school a specific CSR team. These teams are organized and assigned based on the software (e.g., EDExpress) that schools use. In addition, each CSR team designates primary and secondary customer service representatives to work directly with its assigned schools.

To ensure that the schools receive the support they need, each CSR team is supported by others, including:

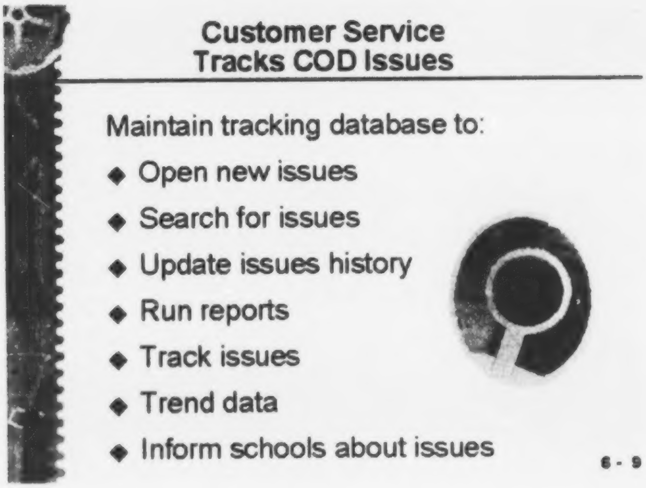
- Reconciliation Specialists
- Quality Assurance Team members

To help expedite calls to the COD Customer Service Center and to be routed directly to the school's CSR, callers should remember to key in both the applicable award year and corresponding Entity ID. For example:

- 2002-2003 = Common School Identifier for COD Customer Service
- 2001-2002 and prior = Pell ID for Pell Grant Hotline
- 2001-2002 and prior = DL School Code (G or E Code) for Direct Loan Origination Customer Service

Note:

Quality Assurance Team members are specialists who work for the operating partner responsible for the COD Customer Service Center. They are not affiliated with FSA's Quality Assurance Program.



Customer Service Tracks COD Issues

Maintain tracking database to:

- Open new issues
- Search for issues
- Update issues history
- Run reports
- Track issues
- Trend data
- Inform schools about issues

6-9

Customer Service Tracks COD Issues

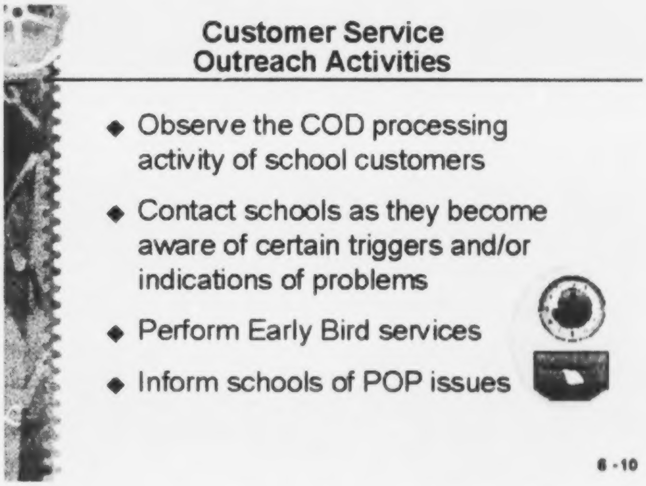
To maximize their effectiveness in analyzing the root causes of problems and working toward the best solutions, CSRs maintain a tracking database. All calls schools make to the Customer Service Center are logged, as is all action taken by the CSRs.

CSRs use the tracking database to:

- Log new issues
- Track and search for prior issues logged
- Update the history of each issue addressed
- Run reports
- Analyze the data for trending
- Inform schools about issues

Note:

The hours of operation for the COD Customer Service Center are 8 AM to 8 PM ET, Monday through Friday.



Customer Service Outreach Activities

- Observe the COD processing activity of school customers
- Contact schools as they become aware of certain triggers and/or indications of problems
- Perform Early Bird services
- Inform schools of POP issues

6-10

Customer Service Outreach Activities

Schools can count on being supported by CSR team members who take a proactive approach to customer service. In their commitment to this approach, CSR teams perform a number of outreach activities.

The purpose of this outreach is to identify and resolve a customer's processing issues as early as possible. To achieve this goal, CSR teams carefully observe processing activities at different levels to determine if issues are school-specific, software-specific, program-specific or COD System-specific, etc. Some of the activities CSRs monitor include:

- Messages posted to FSATECH
- Customer email messages and call logs to look at who is contacting the Customer Service Center and what the issues are
- COD System processing
- Problems with the documentation provided to customers (e.g., *COD Technical Reference*)
- Perform Early Bird activities

In addition, CSRs can also run ad hoc reports to help isolate problem records in a specific status or condition.

CSRs also conduct a variety of call campaigns that help schools focus on specific issues, such as:

- Following up on accepted Pell Grant disbursements reported with a verification status of "W"
- Following up on unsubstantiated drawdowns/disbursements
- Immediately informing schools as POP situations occur

Notes:

1. *CSR teams perform additional outreach activities as needed.*
2. *To contact Customer Service by mail, please use the address below:*
   Common Origination and Disbursement Center
   P O Box 9001, Niagara Falls, NY 14302

Your COD Implementation Plan

Things to Follow Up On

People to Talk With

Key Learning Points

Complete the exercises below to check what you learned about the key points presented in this session.

True/False

__________1. All calls to the Pell Grant Support Line and/or to the Direct Loan Origination Customer Service Center are routed to the COD Customer Service Center.

__________2. Customer Service Representatives advise schools about POP issues.

__________3. The school's CSR team is not responsible for tracking and following up on the school's progress toward substantiating drawdowns.

__________4. The hours of operation for the COD Customer Service Center are 8 AM to 8 PM ET.

__________5. Early Bird customer service activities occur on the first business day of each month.

Fill In the Blanks

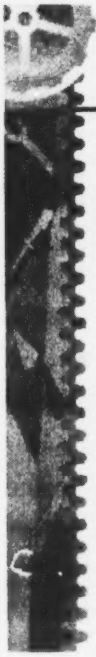
6. Customer Service for Pell and Direct Loans is now __________ and utilizes a ______________ approach.

7. Each school is assigned a _____________ CSR and a _____________ CSR who are members of the school's Customer Service ______________________.

8. Each Customer Service Team is supported by a _____________ ______________ Team.

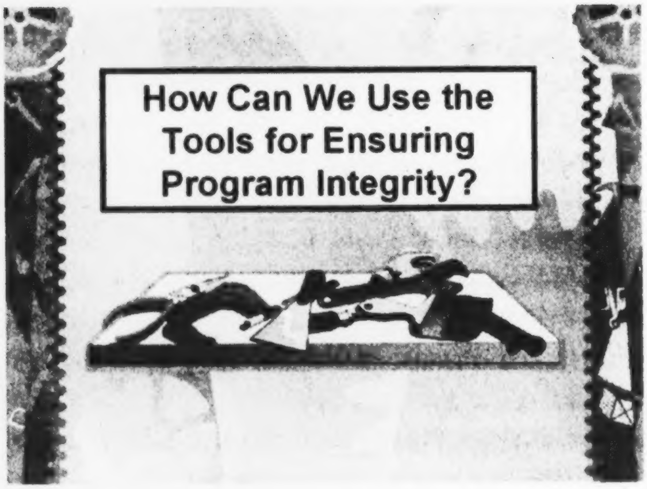
9. List ways in which your CSR team will identify issues.
   a. ____
   b. ____
   c. ____
   d. ____

Session 7—Review and Wrap-Up



Session 7 Agenda

- Review Tools
- Program Integrity Wrap-Up
- Workshop Evaluations



How Can We Use the Tools for Ensuring Program Integrity?

Tools for Ensuring Program Integrity

This workshop focused on identifying some powerful tools that FSA provides to the financial aid community to support your school's efforts in maintaining the integrity of the federal student financial aid programs. Let's review what you learned about how these tools can be used.

FSA Schools Portal web site

IFAP web site

FAFSA on the Web demo site

FAA Access on the Web

NSLDS Transfer Monitoring

EDExpress Quality Analysis Tool for verification

SFA Assessment modules/documents

COD Web Site

Challenge:

Who else at your school needs to know about these tools?

Do You Have the Tools You Need to Ensure Program Integrity?

Do You Have What You Need?

One goal for this workshop was to make sure that you know about the tools available to help manage your financial aid programs as effectively and efficiently as possible—to help make your jobs easier and to help you serve your students better.

Another goal was to learn about the new Common Origination and Disbursement process and its support systems—the COD Web Site and the COD Customer Service Center—and to understand how this powerful tool makes the delivery and reporting of Pell Grant Programs, Direct Loan Programs and campus-based information much more efficient.

As a result of this workshop, what new tools were you able to add to your toolbox?

What tools do you need to share with others at your school?

Workshop
REVIEW & WRAP-UP

You Did It!

Congratulations on completing the "Tools for Ensuring Program Integrity" Workshop! We hope that you enjoyed the experience and learned a lot.

Remember to refer to this training guide often. It contains much information and many resources for you to use and share with others.

Also, remember . . .

- Your colleagues are one of your best resources, so ask for help if you need it
- Check the Schools Portal often for announcements, notices about training and other events, and much more
- Enroll for IFAP updates
- FSA appreciates your hard work in maintaining the integrity of the federal student aid programs

2002-2003 COD Technical Reference

Provides processing information, technical specifications, and an implementation guide for Full Participants transmitting the Common Record in XML format to the COD System. Also includes test cases for Full and Phase-in Participants, along with a testing guide that is applicable to all schools (both Full and Phase-in Participants).

Available for download at:	**sfadownload.ed.gov** *or*
Available for download at:	**ifap.ed.gov**

2002-2003 Direct Loan Technical Reference

Provides processing information, technical specifications for fixed length record layouts, and an implementation guide for COD Phase-in Participants who also participate in the William D. Ford Federal Direct Loan Program. Includes record layouts for all record exports to and imports from the COD System and print specifications for Direct Loan promissory notes.

Available for download at:	**sfadownload.ed.gov** *or*
Available for download at:	**ifap.ed.gov**

2002-2003 Federal Pell Grant Program Technical Reference

Provides processing information, technical specifications for fixed length record layouts, and an implementation guide for COD Phase-in Participants who also participate in the Federal Pell Grant Program. Includes record layouts for all record exports to and imports from the COD System.

Available for download at:	**sfadownload.ed.gov** *or*
Available for download at:	**ifap.ed.gov**

Administrative Cost Allowance (ACA)

Money paid to schools to offset some of the cost of delivering financial aid to students. For the Federal Pell Grant Program, the amount is $5 for each Pell Grant recipient at a school, including students who withdrew or transferred from the school, even if all Federal Pell Grant funds were recovered.

Advance Pay

A funding method option by which schools request cash through GAPS for actual disbursements to students/borrowers. In addition, schools may only draw down cash up to the difference between the school's Current Funding Level (CFL) and the amount of funds previously sent to the school for a given award year and program. The U.S. Treasury transmits funds to the school's federal bank account.

Available Balance

Difference between the school's Current Funding Level (CFL) and the amount the school has drawn down. Pertains to schools using the Advance Pay funding method.

Call for Cash

Requirement that a school return unsubstantiated funds previously drawn down. Pertains to schools using the Advance Pay funding method.

COD School User Role

Level of access to the COD Web Site assigned to an individual. User Roles include School Credit Check, School View Only, School View/Update, School View/Update CC and School Admin.

Common Origination and Disbursement (COD)

A system and database that replace the RFMS and DLOS processes and systems beginning with award year 2002-2003. Combines the origination and disbursement processes for the Federal Pell Grant and Direct Loan Programs.

Common Origination & Disbursement Customer Service Center

Beginning with Award Year 2002-2003, provides single point of service and combined support to Full and Phase-in Participants who transmit Pell Grant and/or Direct Loan award and disbursement information to the COD System.

Call: **1 (800) 4PGRANT for Pell Grants**

Call: **1 (800) 848-0978 for Direct Loans**

Prior Award Year 2002-2003 issues are routed to the existing Federal Pell Grant Customer Service Center or the Direct Loan Origination Customer Service Center as applicable.

Common Origination & Disbursement Web Site

Web-based system for processing and maintaining Federal Pell Grant and Direct Loan data, from Award Year 2002-2003 forward (Campus-Based reporting is optional).

Located at: **cod.ed.gov**

User name and password are required to access this site. See **ifap.ed.gov/cod/0228CODUserIDSetupWebsite.html** for instructions.

Common Record

A data transport mechanism (message) used to exchange Federal Student Aid (FSA) data between Full Participants and ED. Written in XML and can contain multiple entities, students, programs, awards, and disbursements.

Common School Identifier (CSID)

An identifier assigned to schools and third party servicers that is common across the Pell Grant and Direct Loan programs beginning in the 2002-2003 award year.

Current Funding Level (CFL)

Similar to the authorization or obligation level in the 2001-2002 process for Pell Grants and the Cash Control Amount for Direct Loans, the Current Funding Level (CFL) is the level at which funds are made available to cover a school's disbursement needs.

Customer Service Representative (CSR)

Professionally trained to provide assistance and support to COD customers (schools, servicers, etc.).

Direct Loan Origination Customer Service Center

For Award Year 2001-2002 and prior, provides customer service and support for Direct Loan processing issues, including:

- Acknowledgements
- Batch Integrity Errors
- Check Sum Errors
- Closeout
- Custom System Assistance
- Direct Loan Batch Status
- Disbursement Refunds (Return of Title IV Funds)
- Implementation Guide Questions
- Interface Issues
- PLUS Loan Borrower Issues
- Promissory Notes
- Rebuilt Loan Files
- Reconciliation
- Rejected Direct Loan Batches
- Site Visits

Call: **1 (800) 848-0978**

Direct Loan Origination Online

Web-based system for processing William D. Ford Federal Direct Loans **for Award Year 2001-2002 and prior.** Includes loan entrance counseling.

Located at: **lo-online.ed.gov**

Email: **loan_origination@mail.eds.com**

Direct Loan Servicing Customer Service Center

Provides customer service and support for Direct Loan servicing issues, including:

- Booking Dates
- Delinquency Issues
- Interface Issues
- Payments
- Separation Dates

Call: **1 (800) 848-0978**

Direct Loan Servicing Online

Provides customer service and support for Direct Loan servicing issues, including loan exit counseling.

Located at: **www.dlservicer.ed.gov/schools**

Disbursement

A document containing disbursement data with the Payment Trigger flag set to "true." The Payment Trigger is a field on the Common Record that signals the COD System to post the disbursement to a specific award (loan or grant). It either releases funds available to a school via drawdown or FedWire/ACH, or substantiates money already made available to the school. For Phase-in Participants, this is the actual disbursement.

EDCAPS e-Payments Web Site

Streamlines GAPS payment processing and reporting for ED's grantees/payees. Provides on-line capabilities to request payments from the Department and continuous access to current grant and payment information.

- Initiate Payment Requests and Refunds
- Print Activity Reports
- Check Available Balances
- View Payment Requests

Located at: **e-Grants.ed.gov/gapsweb**

Early Bird Customer Service

Customer service activities performed during the three-hour period immediately before the Customer Service Center opens (between 5 AM and 8 AM ET) to check for problems or issues with the previous night's COD processing so that action can be taken early.

Enterprise Application Integration Bus (EAI Bus)

A software application that functions: (1) as a bridge between the institution solution used by the Phase-in Participant for submitting fixed length records to COD via the SAIG and (2) as a traffic manager to direct records to and from COD for all schools and other systems (e.g., CPS, NSLDS, PEPS). Also translates Responses sent by COD via the SAIG into acknowledgements that the Phase-in Participant's institution solution can read and import into their databases. Also referred to as *middleware*.

Entity Identifier (ID)

On the Common Record, the unique Common School Identifier for each data exchange partner (e.g., school, third party servicer, vendor, etc.). When performing entity searches via the COD Web Site, the Entity ID is a school's Common School Identifier, Pell ID, Direct Loan ID or OPE ID.

FSA Customer Service Call Center

Provides customer support across many areas, including:

- Application processing questions
- Help with contacting staff in the U.S. Department of Education
- Title IV policy and regulation questions

Call: **1 (800) 433-7327**
Email: **sfa.customer.support@ed.gov**

FSA Schools Portal Web Site

FSA's electronic gateway to a wide variety of resources, including Common Origination and Disbursement.

Located at: **sfa4schools.sfa.ed.gov**

Federal Pell Grant Support Line

For Award Year 2001-2002 and prior, provides customer service and support for Pell Grant processing and reconciliation issues, including:

- Batch Processing status and rejected batches
- General inquiries concerning RFMS
- Information and Data Requests regarding Award Years Prior to 2000-2001
- Pell Grants on the Web Questions

Call: **1 (800) 474-7268**
Email: **pell.systems@ed.gov**

Financial Aid Contact

Individual designated from a school to be contacted by the COD Customer Service and others as needed. Contact types include Financial Aid Administrator, Chief Financial Officer, President/Chancellor/CEO, Direct Loan Financial Aid Officer, and Pell Financial Aid Officer. For the Direct Loan and Pell Financial Aid Officer contact types, information can be updated and new contacts can be added via the COD Web Site. Contact information for the Financial Aid Administrator, Chief Financial Officer, and President/Chancellor/CEO is updated via the Application/Certification (E-App) site located at www.eligcert.ed.gov

Fixed Length Record

Data record whose data elements are recognized based on their positions in the record layout. Requires that all data elements be populated for each submission. Pertains to the systems used by Phase-in Participants for transmitting data for the Federal Pell Grant and William D. Ford Direct Loan Programs.

Flat File

See "Fixed Length Record."

Freeze Cash

Period during which a school is temporarily prevented from drawing down funds until unsubstantiated funds previously drawn down are substantiated by submitting actual disbursements. Pertains to schools using the Advance Pay funding method.

Full Participant

A school that uses the Common Record (XML) to submit both Federal Pell Grant and Direct Loan data to COD. Full Participants also have the option of submitting award data from the Campus-Based Programs (Federal Supplemental Educational Opportunity Grant, Federal Work-Study, and Perkins Loan) to COD.

Full Response

A Response Record option for Full Participants where all data elements reported, as well as all edits and summary information about the data reported, will be returned to the school (see Standard Response).

GAPS Hotline

Provides customer service support via telephone or email pertaining to using the e-Grants web site.

Call: **1 (888) 336-8930**

Email: **EDCAPS_USER@ed.gov**

Grant Administration and Payment System (GAPS)

System used by ED's Office of Chief Financial Officer to process school-specific obligations and to make payments to schools against those obligations. GAPS is part of EDCAPS and interfaces directly with U.S. Treasury's Federal Reserve System. Under GAPS, schools request funds for Pell Grants, Direct Loans and other student financial aid programs using the program and fiscal year designation that ED has assigned to the authorized funds.

Information for Financial Aid Professionals (IFAP)

Provides FSA information updates electronically. Online database providing access to a collection of current and archived FSA information and materials (e.g., publications, reference manuals, regulatory and policy guidance, Dear Partner and Action Letters, etc.). Pertaining specifically to COD, provides:

- COD Technical Reference
  - Full Participant Implementation Guide
  - COD release schedule
  - COD Testing Guide and testing schedule
  - Overview of the requirements of Phase-in and Full Participants
- Pell Grant Technical Reference
- Direct Loan Technical Reference
- COD Updates
- COD frequently asked questions

Located under Current Publications by Topic (COD) at: **ifap.ed.gov**

Institution Solution

Software application that a school uses to process and report Title IV data to ED (e.g., EDExpress).

Middleware

A software application that functions: (1) as a bridge between the processing systems used by Phase-in Participants for submitting fixed length records to COD via the SAIG and (2) as a traffic manager to direct records to and from COD and other systems (e.g., CPS, NSLDS, PEPS). Also functions as a translator by converting the Responses that are sent from COD to both Phase-in and Full Participants via the SAIG to acknowledgements that the processing systems used by the schools are able to read and import into the schools' databases. Also referred to as the *EAI bus*.

Multiple Reporting Record (MRR)

Identifies originations and/or disbursements being reported by more than one school for the same student. Designed to provide schools with information to identify and resolve potential overaward payments and concurrent enrollments before they occur.

Office of Postsecondary Education (OPE) ID

An eight-digit identification number assigned by the Office of Postsecondary Education to an institution that has been approved to participate in federal student financial aid programs. Schools that don't administer Title IV funds but want their students to qualify for in-school deferments also are assigned an OPE ID number. Additional locations of a school are designated by the last two digits of the OPE ID (e.g., the OPE ID of a school's main campus would be 001639**00**, while the OPE ID of the school's additional location would be 001639**01**).

Payment Trigger Flag

Field on the Common Record that designates data as an actual disbursement (Flag = true). Signals the COD System to post the amount of disbursement to an award (loan or grant).

Pell Grants on the Web

For **Award Years 1999 –2000, 2000-2001, and 2001-2002**, web-based system for processing and maintaining Federal Pell Grant information, including:

- Verifying batch statuses
- Submitting data requests
- Entering post-deadline data records
- Checking account balances
- Entering institution records

Located at: **www.pellgrantsonline.ed.gov**

Postsecondary Education Participants System (PEPS)

The Financial Student Aid (FSA) management information system for all organizations that have a role in administering federal student financial aid and other Higher Education Act programs. Maintains eligibility, certification, demographic, financial, review, audit and default rate data about schools, lenders and guarantors participating in the Title IV programs.

Phase-in Participant

A school that uses fixed length record layouts to submit Pell Grant and Direct Loan Program data to COD via the SAIG. Refer to the 2002-2003 Pell Grant Technical Reference and the 2002-2003 Direct Loan Technical Reference for the defined record layouts.

Potential Overaward Project (POP)

A situation that occurs when more than one school reports to the COD System disbursements for the same student totaling more than 100% of the Scheduled Pell Grant award. Remains on the system for 30 days to allow the schools involved to remedy the situation before corrective action is taken.

Primary CSR

Member of a CSR team who carries primary customer service responsibilities for the school to which that particular CSR team is assigned.

Proactive Customer Service

Service that anticipates the customers' needs.

Processing Options

COD processing default options that schools may override as appropriate. Includes:

- Printing promissory notes
- Printing disclosure statements
- Selecting promissory note type
- Setting the number of future days for displaying disbursements
- Receiving web activity responses
- Receiving automatic deposits of the Administrative Cost Allowance
- Error Processing for Pell Grants

These options may be set via the Common Origination and Disbursement Web Site.

Pushed Cash

A funding method option whereby, based on accepted actual disbursements submitted by the school, funds are automatically sent to the school's bank account via ACH or FEDWIRE without requiring a drawdown request.

Real-time

Describes an application that requires a program or process to respond immediately (typically on-line) while a user waits for the Response or update. Alternative is batch processing, which is done for high volumes and does not require the operator to wait for each Response.

Receipt

Notification sent to the Full Participant from the COD System indicating the system has received a school's Common Record and that it is readable and complies with the XML schema.

Response

Document returned to the Full Participant after processing is complete (akin to the Acknowledgement sent to a Phase-in Participant). Contains updated information, including edit comments and rejects, where applicable.

School Administrator

Individual designated by a school to set up and maintain user access to the COD Web Site. Includes creating, viewing and updating school users; resetting passwords; locking out users from the COD Web Site; updating the school's address and contact information, etc.

Secondary CSR

Member of a CSR team who is responsible for serving as backup to the primary CSR assigned to a particular school.

Standard Response

A Response Record option for Full Participants that includes information (reject codes and explanation) pertaining only to those elements that did not pass edits (see Full Response).

Student Aid Internet Gateway (SAIG)

Web-based system for providing Title IV-eligible post secondary institutions, third-party servicers, state agencies, lenders and guarantors a secure exchange of Title IV data with the FSA Application Systems. The SAIG replaces what was formerly known as Title IV WAN. Organizations enroll individuals as destination point administrators (DPAs), who are assigned destination points (electronic mailboxes) to receive and transmit data for various Title IV student aid program systems, such as NSLDS, Direct Loan and CPS.

Enrollment in the SAIG available at: **sfawebenroll.ed.gov**

Student Identifier (SID)

Field on the Common Record that has the following three attributes: (1) the student's current Social Security number, (2) the student's current last name and (3) the student's current date of birth.

Substantiate

Accounting for funds already drawn or disbursed to a student. In the COD Process, schools substantiate funds by sending in disbursements (where the Payment Trigger flag is set to "true") detailing the disbursement amounts and dates.

Unsubstantiated Cash

Difference between the amount of cash (funds) a school has drawn down and the amount of cash the school has substantiated by submitting actual disbursements. Pertains to schools using the Advance Pay funding method.

Verification Status Code

Code that tells ED what the school has done relative to the student's selection or non-selection for verification. Valid codes are:

Blank (not selected or selected but not verified)

V- Verified

W- Without Documentation

XML (Extensible Markup Language)

Language used to code the Common Record. Each Common Record consists of XML elements that have start tags, end tags and data in between. The start and end tags describe the data or value within the tags. For example, the following XML element is a <Director> element with the value "Matthew Dunn." <Director>Matthew Dunn<Director>.

XML Document

Consists of a collection of XML data elements. Similar to a batch/flat file.

XML Schema for the Common Record

Specifies the rules surrounding the logical structure of an XML document for Full Participants. Describes the allowed content of documents and defines the elements present in the document and the order in which they appear, as well as any attributes that may be associated with an element. Allows schools, software providers, or third party servicers to incorporate the Common Record into their products and services.

Available for download at:	**sfadownload.ed.gov** *or*
Available for download at:	**ifap.ed.gov**

Session 2: Overview Common Origination and Disbursement

As a result of ED's modernization initiative, the operating systems and delivery processes for the Federal Pell Grant (Pell), Direct Loan (DL) and Campus-Based Programs were thoroughly analyzed. FSA recognized that there was enough commonality among the data collected from the three programs to warrant a single process—Common Origination and Disbursement.

As a result, the individual operating systems, the web sites, and the customer service centers are being integrated into one COD processing system, one COD Web Site, and one COD customer service center. This means that, beginning with the 2002-2003 award year, the Common Origination and Disbursement (COD) System replaces the Recipient Financial Management System (RFMS) and the Direct Loan Origination System (DLOS). ALL schools will submit 2002-2003 Pell Grant and Direct Loan award and disbursement data to the COD System. In addition, some schools will have the option of submitting Campus-Based disbursement information to help with FISAP reporting.

Unlike the RFMS and DLOS, systems that processed fixed length records (also referred to as flat files), the COD System uses the "Common Record" as the vehicle for transmitting Title IV award information to ED. The Common Record is coded in XML, a language used for web applications. XML makes the Common Record simpler and much more flexible, efficient and effective than fixed length records.

Currently, only a small number of schools have operating systems (Institution Solutions) that "speak" XML. These schools are referred to as Full Participants, and they submit their Pell Grant and Direct Loan records via the Common Record. Full Participants have the option of submitting their records to the COD System in batches via the SAIG or by entering individual records online via the COD Web Site.

Those schools whose Institution Solutions do not "speak" XML are referred to as Phase-in Participants. For 2002-2003, most schools will be Phase-in Participants, and they will send their fixed length records to COD in batch files via the SAIG. As they go in and out of the COD System, all records submitted via the SAIG are routed through a special application, referred to as middleware or EAI BUS. Although the COD System is able to read all of the records submitted—those in the fixed length format as well as Common Records (XML)—the Responses returned by COD must be translated to Acknowledgements (fixed-length files) by the middleware. Acknowledgements are then sent to the schools to update their databases.

During this first year of COD implementation, the RFMS and DLOS will continue to process 2001-2002 Pell Grant and Direct Loan data. In addition, the corresponding web sites and customer service centers will remain operational. However, once the 2001-2002 award year is closed out, the RFMS and DLOS systems will be retired.

The institution solutions that Phase-in Participants use must transition from the fixed length record format to the Common Record (XML) by the 2004-2005 award year. This means that mainframe schools must get their IT staff involved in implementation planning as soon as possible. Those schools that use third-party software should contact their vendors to discuss the vendor's implementation plan and schedule. Finally, schools that use EDExpress should be on the lookout for information about the scheduled implementation of the Common Record format for 2003-2004.

Session 2: COD Term Translator

RFMS/DLOS	*COD*
Record layout	Common Record (XML) and Schema
Fixed length flat file or batch	XML document or batch
Batch ID	Document ID
Acknowledgement	Response
Origination Record (anticipated or estimated disbursements)	Disbursement submitted to COD System with Payment Trigger = false
Disbursement Record	Disbursement submitted to COD System with Payment Trigger = true Actual Disbursement
Pell ID Direct Loan School Code OPE ID	Entity ID Common School Identifier
Pell Grant Authorization Pell Grant Obligation DL Cash Control Amount	Current Funding Level
Pell Advance Pay DL Option 2	Advance Pay funding method
Pell Just-in-Time (Pilot) DL Standard Origination DL Option 1 DL Option 2	Pushed Cash funding method

Session 3: Pell Grant Funding Methods for Full and Phase-in Participants

PELL GRANT			
COD Funding Terminology	**Legacy Funding Terminology**	**When School Can Submit Actual Disbursements**	**When COD Posts Disbursement**
Advance Pay	Pell Standard (Account Type = Obligate only)	No more than 30 days before disbursement date	No earlier than 7 days before disbursement date
Pell Just-In-Time[1]	Pell Just-In-Time (Account Type = Obligate/Pay)	No more than 7 days before disbursement date	No earlier than 7 days before disbursement date
Pell Pushed Cash (i.e. Advance Pay schools that choose to have cash pushed)	Pell Standard (Account Type = Obligate only)	No more than 7 days before disbursement date	No earlier than 7 days before disbursement date
Cash Monitoring 1 (CM1)	Pell Standard (Account Type = Obligate only)	No more than 30 days before disbursement date	No earlier than 7 days before disbursement date
Cash Monitoring 2 (CM2)	Pell Reimbursement (Account Type = Obligate only for 2001-2002 & after)	On or after disbursement date	Upon review by Case Management
Reimbursement	Pell Reimbursement (Account Type = Obligate only for 2001-2002 & after)	On or after disbursement date	Upon review by Case Management

Note: For the 2002-2003 award year, Pell Grant disbursement dates may range from June 21, 2002 to September 30, 2008.

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[1] Schools using the Pell Just-in-Time funding method are participants in a pilot program, whereby they are extended certain regulatory relief not provided to other schools.

Session 3: Direct Loan Funding Methods for Full and Phase-in Participants

DIRECT LOAN			
COD Funding Terminology	**Legacy Funding Terminology**	**When School Can Submit Actual Disbursements**	**When COD Posts Disbursement**
Advance Pay	DL Option 2	No more than 7 days before disbursement date	No earlier than 7 days before disbursement date
Pushed Cash	DL Option 2 DL Option 1 DL Standard Origination	No more than 7 days before disbursement date	No earlier than 7 days before disbursement date
Cash Monitoring 1 (CM1)	DL Option 2 DL Option 1 DL Standard Origination DL Reimbursement	No more than 7 days before disbursement date	No earlier than 7 days before disbursement date
Cash Monitoring 2 (CM2)	DL Reimbursement	On or after disbursement date	Upon review by Case Management
Reimbursement	DL Reimbursement	On or after disbursement date	Upon review by Case Management

Session 3: COD Process for Full Participants

1. Full Participant submits Common Record document to COD System
    - 1.1 By batch via SAIG *or*
    - 1.2 Enter data online via COD Web Site

2. COD System returns Receipt
    - 2.1 COD receives the Common Record document and validates that it is in good XML format and can be read by the COD System
    - 2.2 For the Common Record document submitted via the SAIG, COD System returns the Receipt via the SAIG to acknowledge that the Common Record was received

3. COD System edits the Common Record document
    - 3.1 If a Student Identifier does not match with CPS, all of the student's data is rejected
    - 3.2 COD compares the Student Identifier with the CPS for student eligibility
    - 3.3 COD uses the Common School Identifier to match with PEPS for school eligibility
    - 3.4 COD System performs a series of document (i.e., batch) format and content edits
    - 3.5 COD accepts as much data as possible from the Common Record document
    - 3.6 Data that does not pass edits is rejected

4. COD System processes the Common Record document
    - 4.1 COD System processes by student and by program
    - 4.2 COD System holds disbursements with Payment Trigger = false until the school releases the record for disbursement at a later time
    - 4.3 If an actual disbursement (disbursement with Payment Trigger = true) is submitted within the appropriate timeframe, the COD System either releases funds available to the school or substantiates funds previously drawn down
        - For Pell, schools using Advance Pay may report up to 30 days prior to the disbursement date
        - For Pell, schools using Pushed Cash or Pell Just-in-Time Pilot may report up to 7 days prior to the disbursement date
        - For Direct Loans, schools may report up to 7 days prior to the disbursement date

5. COD System sends Response to Full Participants

   5.1 Response indicates what data elements were accepted or rejected

   5.2 Response details the editing results

   - Accepted - Indicates data element was accepted
   - Correction (Pell Grant only) - Indicates the correction (i.e., the data element corrected, the original value and the corrected value)
   - Warning - Indicates the warning type and the relevant data
   - Reject - Indicates the reject reason(s) and the relevant data elements
     - Action by the school is required for the record to continue processing

Session 4: COD System Default Processing Options for Full Participants and Phase-in Participants

**COD System Default Processing Options* *School administrator may update at any time via COD Web Site	COD System Values	COD System Default Value	Full	Phase-In
Print Direct Loan Promissory Note Determines who prints the Promissory Note	**Y** = COD System prints **N** = School prints	School's current option	✓	✓
Print Direct Loan Disclosure Determines who prints the Disclosure	**Y** = COD System prints **N** = School prints	School's current option	✓	✓
Direct Loan Promissory Note type Determines whether single-year or multi-year feature is applied to a Promissory Note	**Single-Year** = Borrower must sign note each academic year **Multi-Year** = Borrower does not sign note each academic year	**Single-Year** for schools not eligible for multi-year *or* **Single-Year** for schools eligible for multi-year but that opt for Single-Year **Multi-Year** for eligible schools	✓	✓
Receive Pell Grant Administrative Cost Allowance (ACA) Determines if school will receive Pell Grant Administrative Cost Allowance	**Y** = School receives ACA **N** = School does not receive ACA	School's current option	✓	✓
Receive Web activity Response (Full Participant) or Acknowledgement (Phase-in) Determines if school will receive Response regarding Web activity via SAIG mailbox	**Y** = Response for Web activity sent to school's mailbox **N** = Response for Web activity not sent to school's mailbox	**N** for all schools	✓	✓

**COD System Default Processing Options* *School administrator may update at any time via COD Web Site	**COD System Values**	**COD System Default Value**	**Full**	**Phase-In**
Error Processing Determines whether Pell Grant data edits are enforced as rejections or corrected	**Corrected** = Certain Pell Grant data edits will allow COD System to apply corrections **Rejected** = Certain Pell Grant data edits will be enforced as data rejects	**Corrected** for all Pell Grant schools	✓	
Number of future days to display disbursements Determines the number of days into the future that a school can view disbursements (No limit on number days in the past)	**1 - 999** (days)	**14** (days)	✓	✓

Session 4: COD System
Other Processing Options for Full Participants and Phase-in Participants

Other Options	COD System Values	COD System Default Value	Full	Phase-In
Submit Campus-Based Program data for FISAP at any time during the award year			✓	
Receive Full Response containing all data elements reported and all edits and summary information about the data submitted for Common Record processing activity	**Full** Response **Standard** Response	**Standard** Response	✓	
Full online COD processing via COD Web Site (records are entered and submitted one at a time vs. batch processing via SAIG)			✓	
Partial online COD processing via COD Web Site (view records and rejects, update records and request reports)				✓
Request report files or generate reports online via the COD Web Site			✓	✓
Assign access to COD Web Site			✓	✓

BEST COPY AVAILABLE

Session 5: Set Up School Administrator for COD Web Site

Step	Action
1	Submit a school administrator request letter on university or corporate letterhead
2	Provide the following information on the letter: a. School administrator's first name and last name b. Keyword-mother's maiden name c. Work telephone number d. Email address e. OPE ID f. School name g. Job title h. Work address i. Work fax number j. School administrator's signature k. Name, title and signature of the school's approving authority (e.g., FAA)
3	Mail the letter (signed and on university or corporate letterhead) to U.S. Department of Education FSA Customer Service Center P.O. Box 9003 Niagara Falls, NY 14302
4	School administrator user ID and initial instructions for accessing the COD Web Site will be sent via email
5	For security purposes, the school administrator's password will be sent in a second email
6	School administrator will be provided with instructions on how to set up access for other staff
7	Questions or problems concerning this process should be submitted to the FSA Customer Service Call Center at 1-800-433-7327 or via the Schools Portal

Session 2 Key Learning Points (Defining COD)

True or False

1. ***TRUE*** The Common Record document is easily readable by both computers and people.
2. ***TRUE*** For Award Year 2002-2003, a school whose vendor is not ready to produce XML documents can continue to use their current software to submit Pell Grant and Direct Loan origination and disbursement data to the COD System.
3. ***FALSE*** For Phase-in Participants, the COD process eliminates the two distinct processes of submitting origination and disbursement data.
4. ***FALSE*** All COD data processing is done via the web.

Fill In the Blanks

5. XML is an acronym that stands for ***Extensible Markup Language.***
6. Phase-in Participants will submit ***fixed length*** records.
7. Put a check on the line next to each of the items that are benefits of the COD Process.
    - ✓ a. Option for Full Participants to report Campus-Based disbursement data so that the system will pre-populate sections of the FISAP for the school
    - ✓ b. Ability to access information via a single web site 24 hours a day, 7 days a week
    - ✓ c. More processing options and flexibility
    - ✓ d. Increased emphasis on providing better customer service to schools and third-party servicers
8. Because the Common Record uses XML, schools can send data for ***multiple students, multiple programs/awards, multiple years & multiple campus/schools*** in one transmission.
9. If your school uses a mainframe system to report Pell Grant and Direct Loan data, you should talk to ***IT Department staff*** about implementing the use of the Common Record at your school.
10. If your school uses software provided by an outside vendor, you should talk to your ***software vendor/provider*** about implementing the use of the Common Record at your school.
11. The EDExpress software will use the Common Record beginning in Award Year ***2003-2004***.

Answer the Following

12. Who participates in the COD Process for Award Year 2002-2003?

    All schools

13. Data from which programs is being integrated?

    Pell Grant Program and Direct Loan Program, and the student-level award data for Campus-Based Programs

14. What systems are being integrated?

    RFMS for the Pell Grant Program and DLOS for the Direct Loan Program

15. Who has access to the COD Web Site?

    All schools

16. Who has access to the COD Customer Service Center?

    All schools

Session 3 Key Learning Points (COD Process)

True or False

TRUE 1. For a school whose Pell Grant funding method is Advance Pay, the Initial Current Funding Level is akin to the Initial Authorization.

FALSE 2. Phase-in Participants submit Pell Grant Program and Direct Loan Program origination and disbursement data using the Common Record.

TRUE 3. Accepted actual disbursements substantiate funds already drawn down by an Advance Pay school.

FALSE 4. Under the COD Process, Pushed Cash schools can draw down from GAPS funds needed to disburse within three business days.

Identify the Following

5. For each of the following, identify the correct COD System edit types that apply:

Correction a. Pertains only to Pell Grant data

Reject b. Must be resolved so that processing of the data may continue

Warning c. Indicates that the school *may* need to take further action

Correction d. COD System automatically corrects Pell Grant data

Reject e. May be viewed and resolved via COD Web Site by Full Participants

6. For each of the following, identify the correct program (Pell Grants, Direct Loans or both) to which the processing change applies:

a. ***Both*** Student Identifier

b. ***Both*** Records processed by the COD System for 2002-2003

c. ***Pell Grants*** POP overawards allowed to exist for 30 days

d. ***Both*** Prior year data will be migrated to the COD System by year end

e. ***Pell Grants*** Added cents to the award amount

f. ***Direct Loans*** Funding no longer tied to P-Note processing

Session 4 Key Learning Points (Options)

True/False

TRUE 1. The Web Activity Response Option determines whether the COD System will send Response Records to a Full Participant's SAIG mailbox for activity initiated on the COD Web Site.

TRUE 2. Direct Loan schools have the option of printing promissory notes and disclosures themselves.

TRUE 3. Phase-in Participants do not have the option of sending in Campus-Based Program student-level award data.

FALSE 4. Only staff members from the financial aid office may have access to the COD Web Site.

TRUE 5. Phase-in Participants have the option of viewing rejected data online via the COD Web Site.

TRUE 6. Full Participants have the option to create new records online via the COD Web Site.

FALSE 7. Full Participants have the option of submitting Campus-Based student-level award information to pre-populate the FISAP but must do so at the end of each semester.

TRUE 8. The option of setting the number of future days to display disbursement applies to both Pell Grant and Direct Loan schools.

FALSE 9. Direct Loan schools may opt to receive ACA payments.

FALSE 10. Because the COD System default options pertain only to the financial aid office, there is never a need to discuss the options with other staff at the school.

Session 5 COD Jeopardy

Processing

What is Phase-in Participant? type of school that submits records using the fixed length format

What is Full Participant? type of school that can create a record and change data via the COD Web Site

What is the Student Aid Internet Gateway (SAIG)? how participants send batches to COD

What is the Student Identifier? includes current SSN, current date of birth, and current last name

What is Common Record? vehicle used by full participants to transmit Title IV award information to and from COD

Common Record

What is XML? language in which the Common Record is coded

What are W, V and Blank? valid values for verification

What are the 3 types of edits? Correction, Warning, and Reject

What is Response? term for the file returned to the school after COD editing

What is Pushed Cash? option that allows funds to be sent automatically to the school with no drawdown required

Funding Methods

What is to substantiate draws? to account for funds already drawn

What are the funding methods most schools use? Advance Pay and Pushed Cash

What is Advance Pay? funding method that requires draws to be substantiated

What are accepted actual disbursements? drives the Current Funding Level

What is the number of days by which funds drawn must be used? three business days

Customer Service

What is Niagara Falls? new location of the COD Customer Service Center

Who is "proactive" Customer Service Representative? anticipates customer needs by observing processing trends

What are Pell and DL? COD integrates customer service for these two entities

Who is Reconciliation Specialists Team? helps with transaction balancing and provides funds management support

Who is Early Bird CSR? checks and responds to "after hours" voice and email messages

Potpourri

What is award year 2002-2003? award year FSA will implement COD

What are ALL schools? those schools required to participate in COD for award year 2002-2003

What is award year 2004-2005? award year by which all schools must become Full Participants

What are available report formats? downloadable to PDF or Excel, delimited or formatted text

What is the Payment Trigger? field that marks a disbursement record as an *actual* disbursement

Bonus

What is program integrity? something we are all responsible for

Session 5 Key Learning Points (COD Web Site)

True or False

1. ***FALSE*** Beginning with 2002-2003, the COD Web Site completely replaces Pell Grants Online and Direct Loans Online.

2. ***FALSE*** Because COD is designed to be student-centered, the process of obtaining program information is more cumbersome for schools.

3. ***FALSE*** Full Participants who choose to submit records via the COD Web Site must remember to follow up and to go the web site to retrieve the Response notification.

4. ***TRUE*** Phase-in Participants have access to student information via the COD Web Site.

5. ***FALSE*** User names and passwords are not required to access the COD Web Site.

6. ***FALSE*** The COD Web Site is accessible only Monday through Friday, 6 AM to 12 AM ET.

Fill In the Blanks

7. List at least four types of data searches that all participants can perform via the COD Web Site.
   a. ***Batch Search***
   b. ***School Search***
   c. ***Person Search***
   d. ***P Note Search***
   e. ***Rejected Record Search***
   f. ***Untranslatable Batch Search***
   g. ***Credit Check Search***

8. List the available Pell Grant report formats.
   a. ***Online: PDF and Excel***
   b. ***Via the school's SAIG mailbox: fixed length file***

9. List the available Direct Loan report formats.
   a. ***Online: PDF and Excel***
   b. ***Via the school's SAIG mailbox: fixed length file, delimited, preformatted text***

10. What method can a school use to request that a report file be sent to the school via the SAIG?

    Online data request or data request file

Session 6 Key Learning Points (COD Customer Service)

True/False

TRUE 1. All calls to the Pell Grant Support Line and/or to the Direct Loan Origination Customer Service Center are routed to the COD Customer Service Center.

TRUE 2. Customer Service Representatives advise schools about POP issues.

FALSE 3. The school's CSR team is not responsible for tracking and following up on the school's progress toward substantiating drawdowns.

TRUE 4. The hours of operation for the COD Customer Service Center are 8 AM to 8 PM ET.

FALSE 5. Early Bird customer service activities occur on the first business day of each month.

Fill In the Blanks

6. Customer Service for Pell and Direct Loans is now ***integrated*** and utilizes a ***team*** approach.

7. Each school is assigned a ***Primary*** CSR and a ***Secondary*** CSR who are members of the school's Customer Service ***Team***.

8. Each Customer Service Team is supported by a ***Reconciliation*** ***Specialist*** Team.

9. List ways in which your CSR team will identify issues.

   a. ***Listen to the customer to identify the problem or issue***

   b. ***Analyze the information and research solutions as needed***

   c. ***Get other parties involved as necessary***

   d. ***Observe the school's processing***

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